

Faculty of Arts and Science

**Response to the Principal's Vision Statement,
*Where Next? Toward a University Academic Plan***

April 15, 2010

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Executive Summary

Making up approximately half the University the Faculty of Arts and Science offers, in twenty-seven departments and schools, an extraordinary scope of educational possibilities encompassing the creative arts, languages, humanities, social sciences, and physical and natural sciences. Supported by devoted staff members, undergraduates have the opportunity to compare themselves to some of the best minds in Canada and the world among their peers, their graduate colleagues, and their professors. During the course of their studies both undergraduate and graduate students are exposed to mentors who are recognised world-wide for their contributions as artists, writers, scientists, thinkers and much more. It is to preserve this heritage and to build upon it that the Faculty of Arts and Science defines and debates the challenges and choices that lie ahead.

Perspectives on Excellence: A Strategic Framework for Future Planning

This response to the Principal's Vision statement sets out an assessment of its current state and future potential. At its core, this document also establishes a framework for planning based on four perspectives on excellence. The academic or institutional perspective emphasizes the importance of scholarly excellence and the mission of the university as the collector, protector and creator of knowledge. The constituency or beneficiary perspective encompasses, on the one hand, its students, those who derive direct benefit from Queen's programs and services, and, on the other hand, a larger community who derive indirect benefit from the work of the university, including Queen's alumni, parents, the population of Kingston and Ontario, the governmental organizations to which the University is responsible, and potential employers. The financial or resource-based perspective views excellence in terms of accountability of budgets, sustainable programs and services and an optimization of the use of physical infrastructure in the offering of all programs and services. Finally, the strategic perspective brings together the academic, beneficiary and financial or resource based views within a creative tension that enables the pursuit of scholarly excellence that enriches Queen's students and the larger community and is organized within a sustainable model of fiscal responsibility and optimization of the campus infrastructure. These perspectives on excellence can be most clearly visualized in the form of the diagram accompanying this summary.

Future directions

The Arts and Science response to *Where Next?* includes a range of issues to be addressed. Some of them are summarized below under six distinct headings.

Undergraduate Education

Increases in undergraduate student enrolment have obvious immediate financial benefits. From a beneficiary perspective, it demonstrates Queen's commitment to an increasing number of students seeking university education and to a provincial government which seeks to provide post-secondary opportunities for 70% of the Ontario population. However, the increased strain on residence space, classrooms and the Kingston community must also be considered. Academic imperatives are also part of the strategic decision about growth, since increased student numbers potentially compromise the ability to provide an enriched educational experience that includes collaborative learning, student-faculty interaction and easy access to courses and programs of choice. From an academic perspective, an investigation of alternate pedagogies and continuance of current curriculum reforms are part of the strategic development of the undergraduate experience.

Graduate Education

In their engagement with research in their own studies, in their participation in the research enterprises of faculty members and in their involvement with undergraduate education, graduate students make an integral contribution to the academic excellence of Queen's. Recent increases in graduate enrolment under the Reaching Higher program established by the Ontario Government

have had financial benefits to the institution and a re-envisioning of a budgetary model that moves from a growth model to a steady-state environment for a sustained presence of the current graduate complement is a priority for Arts and Science.

Research

Currently, support for research programs in Arts and Science amounts to approximately 30% of its annual budget. The importance of research to the academic profile of the institution, especially one like Queen's which prides itself on combining research with teaching, cannot be overstated but the present fiscal pressures may compromise the ability to continue the current level of financial and infrastructure support. While the relationship between research and teaching has always been complementary, the Faculty needs to re-evaluate and balance the academic need to continue important (and sometimes expensive) research with the need to provide other aspects of undergraduate and graduate education within a financially viable plan.

Internationalization and Diversity

While more students than ever before are engaging in various forms of study abroad and the curriculum on campus includes an increasing range of opportunities related to international interests, the growth of these academic areas requires further development. Creative financial solutions for greater support of these initiatives need to be found. Decisive and assertive action must be taken to improve diversity, both within Arts and Science and throughout Queen's University. The Faculty is committed to participation in University-wide initiatives such as those proposed by the Senate Educational Equity Committee.

Organization and Governance

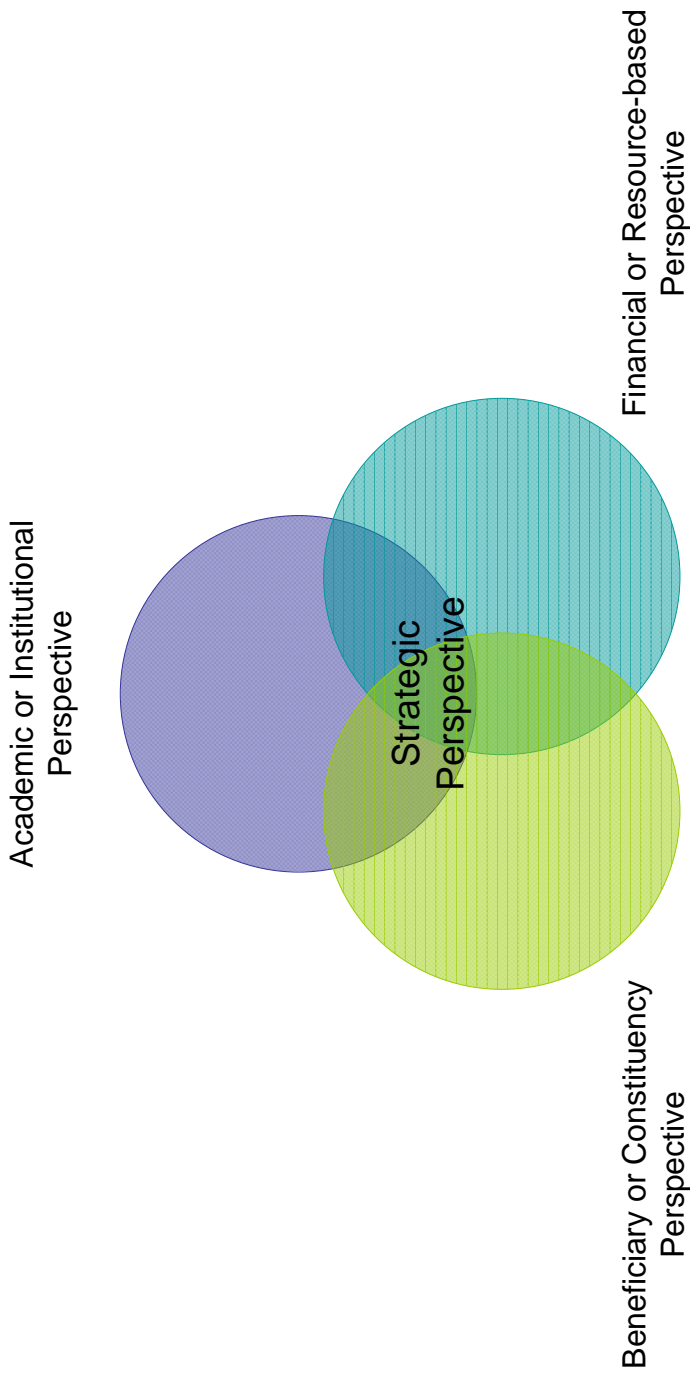
The health of an organization as large and diverse in its operations as the Faculty of Arts and Science requires regular review of the structures and processes which facilitate development and delivery of high quality programs and services. Academic excellence will not flourish where effective and efficient processes are not in place to make possible the optimal availability of courses and programs. The beneficiaries of these courses and programs will not be able to dedicate themselves to academic study if the services which make them possible do not run smoothly; and resources will not be used effectively if the organizational structures and the staff and faculty who put these structures into action are not adequately matched.

Budget

The financial pressures facing Queen's and most other post-secondary educational institutions threaten to have a profound impact on the academic excellence of Arts and Science and will inevitably register in potential dissatisfaction of its students as they compete for the courses and programs they wish to pursue. An approach to post-secondary education in which the strategic importance of providing the best academic programs for the best students within the confines of resource constraints is a difficult framework within which the Faculty must operate. New financial models must be considered while the academic imperative of providing an educational environment which values the importance of freedom of intellectual discovery across a range of academic fields is maintained.

In common with the rest of Queen's, and indeed most of the Canadian post-secondary system, the Faculty of Arts and Science faces the challenge of an increased desire for higher education in an adverse budget environment. The Faculty will have to determine how to embrace change while maintaining, as much as possible, the high academic standards to which it aspires. How this can be done without losing the fundamental characteristics which have defined a Queen's education will require the open-minded but critical engagement of students, staff, faculty and alumni as this planning process unfolds over the coming months.

Perspectives on Excellence



1. Introductory Comments

The Faculty of Arts and Science is for many people the essence of what makes up a university and defines Queen's. Even for those students who go on to take graduate or professional degrees it is the undergraduate experience that frequently remains the formative and enduring core of post-secondary education. Composed of approximately half the University the Faculty of Arts and Science offers, in twenty-seven departments and schools, an extraordinary scope of educational possibilities encompassing the creative arts, languages, humanities, social sciences, and physical and natural sciences. Supported by devoted staff members, undergraduates have the opportunity to compare themselves to some of the best minds in Canada and the world both among their peers, their graduate colleagues, and their professors. During the course of their studies students are exposed to mentors who are recognised world-wide for their contributions as artists, writers, scientists, thinkers and much more. It is to preserve this heritage and to build upon it that the Faculty of Arts and Science defines and debates the challenges and choices that lie ahead.

This document has been developed as a response by the Faculty of Arts and Science to the Principal's request that "every part of the University ... take stock of what it does and plan for where it would like to be in five years, assuming for the most part no new university resources and increasing costs."¹ While the immediate impetus for the current discussion process is to meet the Principal's goal of presenting an academic plan for comment to Senate and the Board at the end of this year, it also provides an opportunity for the Faculty to consider its future directions. The following pages contain a summary of the current goals and operations of the Faculty and also identify areas in which critical decisions must be made which will have a profound impact on the evolution of the Faculty over the next few years.

The process of such a review is challenging but critical. The challenge resides in an attempt to summarize, distil or synthesize what the Faculty does while taking into due consideration its size, complexity and diversity and the importance and range of its contributions to the University as a whole. Too much detail would lead to a document of overwhelming length and specificity; too little detail threatens to omit, understate or oversimplify the richness of Arts and Science. However, it is also critical that such a document be attempted in order to offer an outline of the goals and activities of the Faculty to the Principal's committee appointed to synthesize the submissions by all Faculties for presentation to Senate and to the Board of Trustees.

Readers should keep in mind that this response document consolidates a range of suggestions into possible directions for the Faculty and attempts to balance academic, constituency and resource-based perspectives on excellence into an overall strategic direction. There is no intention to present fixed, programmatic or immutable imperatives that are beyond negotiation, nor do the following pages offer a specific financial or budgetary plan designed to save a specific number of dollars across the Faculty. If the University planning process is, to use the common metaphor, a perspective from fifty thousand feet, this Faculty document descends to somewhere around ten to twenty thousand feet.

It is important, therefore, to place the current process in its appropriate context. In January the Principal published his vision statement and a template was established to gather responses from departments and Faculties which are required in the Principal's Office on 15th April. These documents will be used by the University committee to prepare their vision which will be available for further discussion to the University community, including the Senate and the Board, in September. Following this further review it is planned that the document will be submitted to Senate and Board in December for approval. Following this Faculties will be asked to prepare implementation plans which will require further detailed discussion within the Faculty and its departments and schools. Where appropriate, these plans will, of course, be presented to Faculty Board and its committees for discussion and approval.

¹ Daniel Woolf, *Where Next? Toward a University Academic Plan*, 3, <http://www.queensu.ca/principal/news/vision/WhereNext-2009-01-15.pdf>.

The reasons for not descending fully to ground level are at least twofold. First, the engagement in this planning process has been extraordinarily rapid for something that could have such significant impact on the faculty, staff and students of the Faculty of Arts and Science, and these suggestions need further work before adoption and full-scale implementation is possible. Second, and just as important, the traditions of consultation and collaboration that characterize the operations of the Faculty and which are anticipated in the process described above must continue to be maintained. Some specific examples are offered here, but they should be understood as examples only. This document is part of a larger process within the University and will need careful reconsideration as all members of Arts and Science attempt to address the challenges the University is facing.

In formulating the document, the Faculty Office has incorporated a range of comments by departments, groups and individuals who have made their views known through meetings of the Committee of Departments and Faculty Board, through submissions in response to the Principal's *Where Next?* document and through Departmental responses to earlier drafts of the present document. In addition, this assessment of potential directions has incorporated the three-year budget planning documents submitted by Departments to the Faculty Office as part of the preparation of the Faculty Budget and Staffing Strategy for 2010-11 and submitted to the Vice Principal (Academic) in January 2010. Several drafts of the document have been circulated through departments, but it is recognized that consensus is difficult to obtain among the different interests encompassed by Arts and Science and on the extraordinary range of issues relevant to the diversified educational activities encompassed in this document. Inevitably not all will share the views expressed here, but a starting point is worth offering if only to begin an engagement with the significant challenges facing the Faculty and the University. Dissent is inevitable; engagement is essential. A diverse range of opinions have been expressed throughout this process, and a degree of concern has been raised in some areas by a number of groups. A motion by Faculty Board objecting to this document and the overall process of review is included in Appendix A. Undergraduate students have expressed concern with the lack of student involvement in the process, and some have objected to the possible developments in virtualization outlined in the document and the possibility of enrolment increases. Students also voiced concern about the inadequacy of government support for post-secondary education and the burden of increased student debt. Graduate students have also indicated clearly that they do not feel fully included in this process. Staff input has indicated general support for the work of the Dean but has also raised questions about lack of transparency in budgeting, increasing workload for staff leading to increased stress, and the need for improved consultation and communication with staff about critical decisions. As the process continues, the Faculty Office will work to engage directly with these groups and the important matters they have raised.

Sections Two through Seven of the document attempt to "take stock" of what the Faculty does and the contexts within which it works. Section Two gives a summary of the provincial context in which planning for Arts and Science in particular and Queen's University in general takes place. Sections Three and Four provide an overview and analysis of the current structures and state of the Faculty. Sections Five and Six offer a framework for academic planning and strategic decision making while Section Seven presents the set of goals developed by the Faculty Office for the purposes of planning and budgeting over the three-year period from 2009-10 to 2011-12. It should be noted, however, that, given the rapidly changing environment within which we work, these goals are constantly being reevaluated. This academic planning exercise offers a larger context in which to engage students, faculty and staff in deliberations over the future of Arts and Science. Indeed, the process of preparing this document comes at a time in which a new phase of planning and goal setting for the Faculty must take place.

Section Eight offers the outlines of a plan for where the Faculty would like to be in the next few years. It sets out several critical areas for focused discussion: undergraduate education, graduate education, research, internationalization and diversity, the structure and organization of the Faculty and its departments, and budget. The comments here are general in nature but begin to outline a direction for the next five years for the Faculty of Arts and Science, "assuming no new university resources and increasing costs."

2. The Provincial Context

It is important to have an understanding of the wider context in which the University operates. A recent document issued by the Council of Ontario Universities, *Reaching Even Higher: The Next Multi-Year Funding Plan for Postsecondary Education*, provides a good summary of the governmental, social, demographic and provincial contexts shaping the next few years of postsecondary education in Ontario. This document is essential reading as the Faculty plans a way forward. *Reaching Even Higher* follows the Ontario Government's *Reaching Higher* program under which Ontario postsecondary institutions added over 25,000 undergraduate and 10,000 graduate spaces between 2004-05 and last year. The program also improved access for first-generation students, Aboriginal students and students with disabilities. Over the five years of the *Reaching Higher* program significant funding revenue was added to Ontario institutions with a cumulative increase in operating grants of approximately \$2.7B.

In the next phase of *Reaching Higher*, to which *Reaching Even Higher* is a response, the Premier proposes to increase access to Ontario postsecondary institutions in light of increased participation rates in the population and increased demand in society for the kinds of skills developed in the postsecondary environment. The Ministry of Training, Colleges and Universities estimates "that student demand for undergraduate spaces will increase by between 42,000 and 58,000 (full time head counts) between 2008-09 and 2015-16."² *Reaching Even Higher* proposes three recommendations to meet the shared goals of Universities and government:

- i. Increased access for students to accommodate the growing demand, particularly in the GTA.
- ii. An enriched student experience through quality initiatives such as:
 - Expanded academic support services;
 - Enhanced technology and library resources;
 - Increased student-faculty interaction; and
 - Support to improve teaching practices.
- iii. More robust accountability to ensure delivery of access and quality to students through more strategic agreements that clarify and build on each institution's specific strengths, priorities, regional needs and provincial goals.³

The document further notes that "While funding on a per-student basis has grown, it has not kept up with universities' actual growth in costs" during the *Reaching Higher* program,⁴ and the next phase of development would require a review of the current limits on tuition and further investment:

To continue to provide improved access for students through growth in enrolment without eroding the quality of their programs, and to provide moderate improvements in quality, Ontario universities require annual increases to the base operating grants of approximately \$200M (on average in each of the next five years), to address substantively more growth than was accommodated during *Reaching Higher*. Further investments to base operating funding are needed to allow our institutions to make sustainable and significant improvements to the student experience and learning outcomes.⁵

² Council of Ontario Universities, *Reaching Even Higher: The Next Multi-Year Funding Plan for Postsecondary Education*, December 2009, p. 4, <http://www.cou.on.ca/.../COU%20Submission%20to%20Government%20-%20next%20multi-year%20plan%20FINAL.pdf>.

³ *Ibid.*, p. 2.

⁴ *Ibid.*, p. 6.

⁵ *Ibid.*, p. 9.

However, the COU document offers no assurance that tuition restructuring or base investments will be easy to obtain in the current economic climate. Universities would still operate under constrained resources, significant internal structuring would have to be undertaken, and reporting and accountability structures would have to be in place for this partnership in postsecondary growth to take place.

It is fortuitous, therefore, that we are undertaking this review, and its outcome will be crucial to the future of the Faculty.

3. Overview of the Faculty

The Faculty of Arts and Science at Queen's provides a challenging and innovative education within the context of a mid-sized, residential University and a research-intensive environment. Research and learning are closely tied in a wide range of graduate and undergraduate programs designed to foster analytical, critical and creative thought as regular habits of mind and to transform students into informed, responsible and educated global citizens.

Currently, approximately 450 faculty members offer courses to approximately 8500 full-time undergraduates and 1600 graduate students.

At the undergraduate level, the Faculty includes a range of different academic structures that make possible a variety of degree possibilities for students. Four-year degree programs such as the Bachelor of Arts and Bachelor of Science are provided through 27 departments. The Bachelor of Arts is available in the form of a Major, Major-Minor, Medial or Special Field Program type; the Bachelor of Science offers a Major, Major-General, Medial and Subject of Specialization type. Three-year degrees are also available in the Arts or Sciences. Since Arts and Science incorporates Languages, Social Sciences, Natural and Physical Sciences, Creative Arts and Humanities in one Faculty, students may move between and among an array of disciplines and choose from a wide range of degree combinations.

More specialized degree programs are available from three schools requiring direct admission. The Schools of Music (Bachelor of Music), Computing (Bachelor of Computing) and Kinesiology and Health Studies (Bachelor of Kinesiology, Bachelor of Health Studies, and Bachelor of Physical and Health Education) offer specially designed programs. Finally, a number of specially designed interdisciplinary programs in Life Sciences, Jewish Studies, Environmental Studies (also a school, although not a specialized degree program), Stage and Screen Studies, and Language and Linguistics are available by combining courses across departments and, in the case of Life Sciences, across Faculties. In addition to the Life Science program offered in conjunction with Health Sciences, Arts and Science has developed collaborative agreements with Applied Science, Commerce, Nursing and the School of Urban and Regional Planning which allow students to pursue courses in these other Faculties. Arts and Science also works closely with the School of Religion to offer a program in Religious Studies and to enable undergraduates to pursue courses on a range of issues under study in the School.

At the graduate level, Arts and Science, as a vital, research-intensive Faculty, provides abundant opportunity for study across all the major disciplines. Nineteen PhD programs and 26 Master's programs are offered.

The administrative structures supporting these programs include the Dean's Office, which facilitates budgeting matters, faculty and staff appointments and career development, Faculty planning and coordination of programs and departments. The Student Services Division coordinates the Faculty admissions policies, program registration, course offerings, regulations, and a host of elements critical to the operation of undergraduate programs. Continuing and Distance Education Studies oversees these special dimensions of student services and report to the Student Services Division

while the International Programs Office reports to the Dean's Office through an Associate Dean (International).

A Faculty Advancement team works in consultation with the Dean, department heads, staff and alumni to develop goals and strategies designed to maximize financial support for Arts and Science. Enrichment Studies offers a series of educational opportunities for pre-university students, and the Queen's School of English offers a variety of intensive programs in English for academic and business purposes to students from around the world.

4. Summary of the Current State of the Faculty

Our Mission:

The Faculty of Arts and Science is committed to integrating excellence in research with exceptional teaching to promote an innovative and effective undergraduate and graduate education in the context of a high-quality, research-intensive institution.

The major challenge confronting the Faculty of Arts and Science over the next three years is how to maintain quality in teaching, research and service in an increasingly constrained financial environment. As this document will show, there has been an extraordinary degree of change within the Faculty (and to the faculty complement) over 2009-10.

The following three figures give a general indication of the state of the Faculty. Figure 1 traces enrolment growth from 1995 to 2009. Not only has Arts and Science increased its first-year numbers, but the Faculty has also seen an increase in upper-year retention. As a result, units have expanded capacity in all courses. Moreover, increased upper-year retention means increased demand for low enrolment resource-intensive upper-year seminar and project courses.

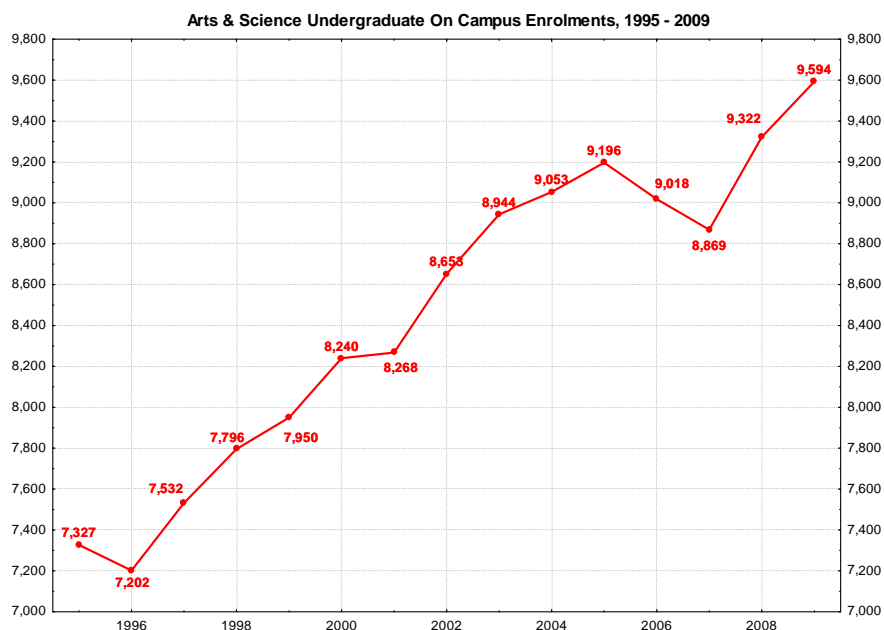


Figure 1

Figure 2 highlights the decrease in full-service faculty numbers from 2007-08 due primarily to the limited ability to replace tenure-track positions vacated by resignation or retirement and the culmination of a number of non-renewable appointments which were not replaced. The break in the

graph for 2005 highlights the year in which full-service Non-Renewable (NR) appointments were included in these general EFTS totals.

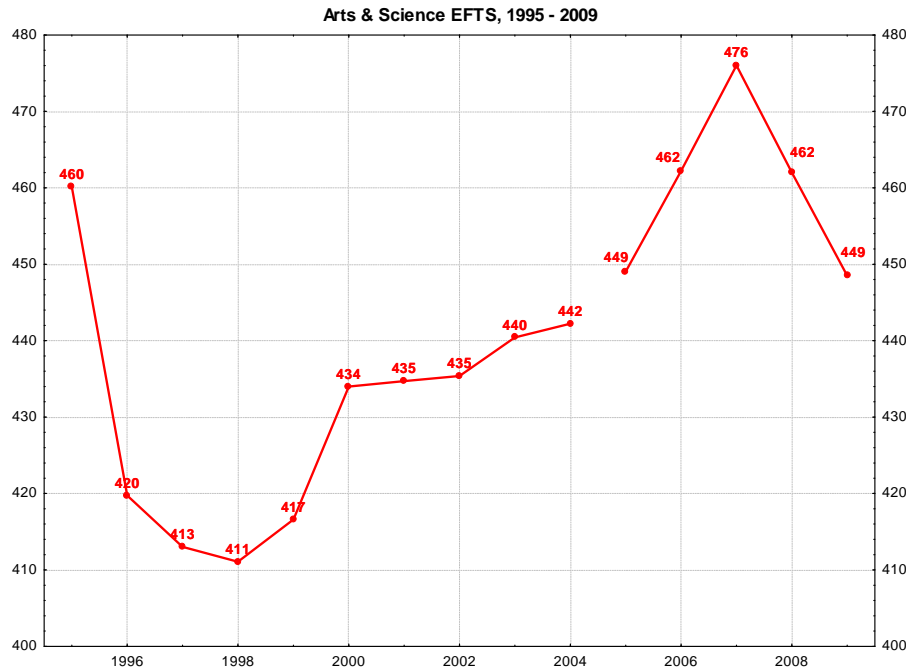


Figure 2

Finally, as Figure 3 shows, our on-campus student/faculty ratio is again rising.

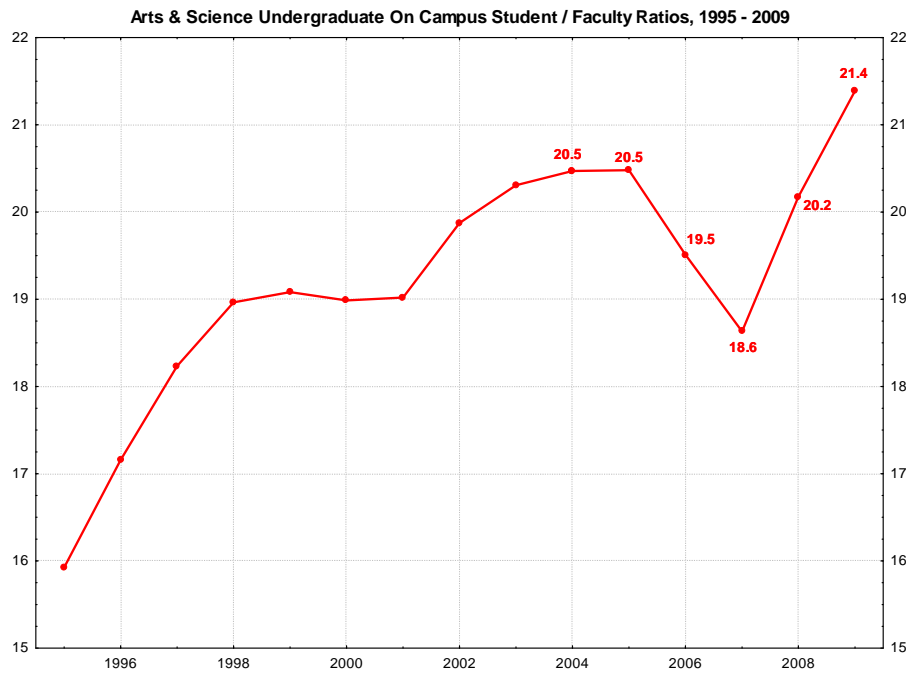


Figure 3

These very general indicators have been motivating forces in suggesting some change of direction to protect the undergraduate and graduate mission of Arts and Science, its research programs and the commitment to service provided by the Faculty.

On September 21, 2009, the Faculty of Arts and Science initiated a three-year budgeting process with units which included firm parameters for 2010-11 based on a pro-rata distribution of forecasted budget adjustment requirements. Parameters for the following two years were also tentatively distributed on a pro-rata basis, pending the more rigorous academic planning process to be completed during 2010.

Subsequent to September 21, 2009, the Vice-Principal (Academic) requested that the Faculty use the modified budgeting parameters released on November 24, 2009. Those parameters included a revised budget model whereby Faculties assume responsibility for all salary and benefit increases effective 2010-11. Using salary increase assumptions within the existing QUFA collective agreement and other related assumptions through 2010-11, the Faculty forecasted little to no impact on the 2010-11 budget planning assumptions previously distributed. However, with greater uncertainty beyond 2010-11, future budgets could vary more significantly from the original assumptions depending on the compensation assumption used for subsequent years. Indeed, a compensation assumption low enough to allow the University to meet the financial requirements mandated by the Board of Trustees would create a Faculty budget situation significantly better than the original planning assumptions beyond 2010-11.

Other key budget assumptions presented to the VP (Academic) by the Faculty included maximizing tuition fee rate increases in all three budget planning years, retirement assumptions of 8-10 full service faculty members per year, as well as existing budget and Senate enrolment planning estimates for the next two years which include only relatively modest flow-through undergraduate enrolment growth forecasts. Regarding undergraduate enrolment growth, given the significant uncertainties within many of the budget planning assumptions above, additional growth must be seriously considered given the magnitude of Faculty requirements along with increasing societal demands as most recently outlined in the COU *Reaching Even Higher* document submitted to Ministry. With respect to the graduate program, the Faculty must assume a transition to a steady-state model of enrolment after a period of significant growth, and a February 3, 2010 memo to the Deans from Vice Principal (Academic) Deane urged all Faculties to protect TA budgets in the course of financial planning.

5. Perspectives on Excellence

A continued central goal for all activities is to maintain excellence in teaching, research and service, but the nature of excellence itself must be contextualized within three essentially different perspectives, all of which must be taken into account in the future decisions we make and the goals we set. These perspectives are intended to provide a framework within which overall discussions related to academic planning may take place.

a. The Academic or Institutional Perspective

The academic or institutional perspective is part of a long-standing tradition of scholarly excellence rooted in the idea of the liberal arts education with its emphasis on knowledge for its own sake, its dedication to a breadth of study within and across disciplines and its aim of developing a sense of personal and civic responsibility within the individual. Added to the idea of the liberal arts is the importance of discovery-based research with its pursuit of new knowledge and a dedication to increased specialization. The values of free inquiry and the exchange of ideas motivate and sustain this academic perspective.

The Guidelines for Undergraduate Degree Level Expectations (UDLES) produced and adopted by the Ontario Council of Academic Vice-Principals present a set of learning outcomes that illustrate and help define the academic or institutional perspective on excellence.⁶ Covering such areas as depth and breadth of study, the understanding and application of methodologies, communication skills, awareness of the limits of knowledge and the development of autonomous and professional capacity, the UDLES depict an educational system drawing on the liberal arts tradition while incorporating the increasingly important dimensions of the research enterprise. Depth and breadth of knowledge includes grounding in traditional concepts and methodologies but must also extend student experience into the current advances, theoretical approaches and assumptions explored in the latest research findings.

Measures of the academic or institutional perspective include the assessment of faculty member accomplishments, publications and credentials and comparison of institutional and disciplinary rankings.

b. The Beneficiary or Constituency Perspective

The beneficiary or constituency perspective is derived from the increasing public demand for accessibility. It is assessed by measures of student satisfaction with instructors, courses and programs, but is also experienced in the institution as pressure from parents, the community, alumni, employers and government and regulatory agencies. The stress by the Council of Ontario Universities on access and accountability in the *Reaching Even Higher* document is evidence of the growing importance and influence of a beneficiary or constituency perspective that no university can afford to ignore.

The National Survey of Student Engagement (NSSE), an increasingly important measure of accountability and accessibility, is part of the pressure to define ourselves in terms of the needs of our beneficiaries.⁷ The survey, handed out to students at the end of year 1 and year 4, assesses a range of performance measures in areas such as the level of academic challenge, active and collaborative learning, student-faculty interaction, enriching educational experience and supportive campus environment. Queen's scores higher than the average for other Canadian universities in level of academic challenge, enriching educational experiences and supportive campus environment, but ranks lower than average on active and collaborative learning and student-faculty interaction. These lower ratings are not entirely surprising given the increase in student-faculty ratios particularly in the last few years. However, the survey defines important aspects of the student educational experience at Queen's, and may cause all in the Faculty to reflect on how the delivery of programs might be modified to improve collaborative and interactive learning.

Exit polls from the university⁸ and student demand for courses and programs in as reflected in teaching and concentrator numbers and in student/faculty ratios,⁹ as well as course delivery methods, offer ways of assessing our ability to improve the experience of our students.

c. The Financial or Resource-based Perspective

The financial or resource-based perspective views excellence in terms of a return on investment, a cost-benefit analysis, and control of expenditures. Often seen as being at odds with the institutional perspective on excellence, the financial perspective cannot be ignored and has at times seemed an overwhelming force driving educational practice and policy. If accessibility is the important byword for

⁶ Ontario Council of Academic Vice-Presidents, "Undergraduate Degree Level Expectations Guidelines," December 2005, <http://www.cou.on.ca/content/objects/Undergrad%20Degree%20Expectations%20FINALen1.pdf>.

⁷ A summary of the NSSE benchmarks is available at "NSSE Benchmarks of Effective Educational Practice," http://nsse.iub.edu/pdf/nsse_benchmarks.pdf.

⁸ Exit poll results available at "University Registrar - Undergraduate Exit Poll Survey," <http://www.queensu.ca/registrar/aboutus/reports/exitpoll.html>.

⁹ A range of indicators used by Arts and Science are available at "Queen's University, Faculty of Arts & Science, Faculty and Staff, Statistical Reports," <http://www.queensu.ca/artsci/stats/index.html>.

the beneficiary or constituency perspective, accountability is the defining term for a financial or resource-based perspective on excellence. As large and complex organizations, all universities are subject to outside financial pressures, and as publicly funded institutions, we have a legal and moral responsibility to manage our operations in a fiscally conscientious manner.

The financial, however, is only one aspect of this perspective. Whether speaking of physical infrastructure in the form of classrooms, residences and offices, or of our faculty and staff, the optimization of resources to achieve our goals for the pursuit of excellence is essential in this perspective.

The measures considered in this perspective include the costs of programs and courses per student and control of expenditures.¹⁰ In addition, classroom utilization and the organization of administrative structures must be taken into account.

d. The Strategic Perspective on Excellence

The strategic perspective on excellence is one that brings together institutional, beneficiary and financial points of view. In this sense, excellence is not reductive or singular but a balance or reconciliation of diverse perspectives and measures. The strategic perspective, which the Faculty Office has used in past decision making, is at the foundations of the budget documents for 2009-2010 and provides a context for principled decision-making. The most difficult decisions arise when these three perspectives are in conflict and one point of view is sacrificed to another. It is often not easy to reconcile the exclusive pursuit of scholarly excellence with the demands of the Faculty's various constituencies and to organize teaching, research and service within a balanced budget as all parts of the University are required to do. Difficult decisions must be made and the current pressures ensure that change and adaptation are inevitable.

While the dangers of a single-minded adherence to a financial or resource-based perspective are obvious to all, it should be kept in mind that the academic perspective alone is not sufficient to sustain quality in the current environment. Some recent budget years have demonstrated the potential dangers of putting the academic perspective ahead of all others. Many hires were made in high-demand departments and programs, and temporary or "soft" funding was used to shore up and expand a range of other programs important to the breadth of the academic mission of Arts and Science. The economic downturn and the fact that government grants did not continue to provide sufficient extra funding left Arts and Science at Queen's (and at all universities in Ontario) facing a financial shortfall which is having a significant impact on all programs but most directly on those sustained by soft funding. A sustainable and strategic perspective on excellence can no longer afford to disregard the vulnerability of programs held together by temporary funding.

6. Principles in Support of Decision Making

Decisions within this strategic perspective on excellence are also informed by the following agreed-upon common principles derived from the Senate "Report on Principles and Priorities":¹¹

enhance quality While acknowledging varying measures of excellence, our decisions must serve to enhance the quality of the teaching and research conducted at the University.

rethink basic assumptions Decisions must be informed by changes in both internal and external environments. The ways in which we do things must be challenged and the processes and approaches we employ constantly examined.

protect flexibility and respond to opportunity The flexibility required to respond in a timely and effective fashion to opportunities must be protected.

¹⁰ The budget report for the university contains a breakdown of budgets for individual academic units. See "Financial Services - Annual Budget Reports," <http://www.queensu.ca/financialservices/reports/budget.html>.

¹¹ See *Report on Principles and Priorities*, January 25, 1996, <http://www.queensu.ca/secretariat/senate/policies/principri/index.html>.

build on strength, capitalize on synergy Areas of strength within and between units and institutions must be promoted.

practice selectivity Activities supported by the University must be selectively chosen to focus on a limited number of areas of high quality and effectiveness. When areas of weakness are identified, a decision must be made either to improve quality or to withdraw from the area of operation.

promote diversity Human diversity provides essential elements of strength, resilience and innovation to the University. Acknowledgement of the importance of diversity must inform decisions at all levels.

practice openness and accountability Information required to inform decision making must be available, taking into account the right to individual privacy.

7. Ongoing Goals and Initiatives

The goals outlined below were developed as part of the deliberations on the 2009-10 budget document and were designed to extend through 2011-12. They are consistent with a strategic reorganization of the Faculty which has as its overarching aim the maintenance of the quality of educational programs, the integration of teaching and research, and continuing commitment to service to the University and the wider community. The current planning exercise set out by the Principal in *Where Next?* occurs as this set of goals already requires reconsideration. The consultation now underway thus allows for greater involvement by the faculty, staff and students in future planning and future directions.

a. Goal 1: On Student Admissions

- **Retain existing patterns of admission to preserve quality of students while also maintaining current enrolments.**

Rationale: There are two aspects to admission for Arts and Science relevant to achieving this goal.

The first aspect of admission is the number of students admitted in first year. In the wake of the double cohort, the first-year incoming enrolment target for Arts and Science was stabilized at 2,252 students. When reviewing enrolment demand, the projected future fiscal environment and the resource capacity of the Faculty were discussed with the Office of the Vice-Principal (Academic). From the beneficiary perspective, it is clear that increased participation in post-secondary education creates increased demand for places throughout the Ontario system. From an academic perspective, it is also clear that a significant number of high-quality applicants, that is, high school students with averages in excess of 80%, still seek admittance to university in general and to Queen's in particular. Finally, the financial benefit to Arts and Science and to Queen's as a whole in admitting additional students presents an opportunity that could not be ignored. The recent strategic decision to admit approximately 150 more students to the BAH emerged as a balance of these considerations. The new enrolment target of 2402 was therefore established as a new plateau for the 2008-09 and 2009-10 academic years. For 2010-11 and beyond, further increases in first-year enrolment intake are being considered. With the recent increases in intake numbers and the increasing retention rates in all Arts and Science programs, the Faculty realized an addition \$1.5 million in revenue which protected departments from even deeper financial reductions. While maintaining the current level of enrolments stretches the Faculty's resources to its limits, the strain on resources is balanced by the revenue that is generated and does not reduce the quality of the students we admit.

The second important aspect of admission is the process of admitting first-year students to an undeclared program rather than admitting them directly to a specific area program. Arts and Science proposes to continue with the current practice of admitting students to undeclared degree programs (including BAH, BSCH, BCMP). This process maintains the quality of students as reflected in high entry averages. Further, it meets the needs of the incoming constituency which is younger and therefore more prone to make changes in degree concentrations. It should be noted that the

alternative, an admit-to-program model, is restrictive in terms of management, since changes to programs have to be developed, implemented and communicated to the Ontario Universities' Admission Centre well in advance of our current curriculum cycles. Thus the larger entry categories — Arts or Science as opposed to a program-specific category such as Economics, Physics or History — also enables the Faculty to move quickly in adding to and deleting degree concentrations and streamlines the amount of administration needed to oversee admission to the Faculty. While the option of moving to an admit-to-program system has been considered on several occasions it lacks the advantages described above and, in addition, increases the burden of admission as it requires departmental administration of admission processes. In addition, the admit-to-program model would lead to a decline in standards in some areas of the Faculty.

b. Goal 2: On Undergraduate Programs

- **Maintain strong undergraduate programs while being selective in the maintenance of low-demand or under-resourced programs.**

Rationale: To meet budget reductions and to streamline the administrative costs associated with offering an undergraduate program that meets student demand and is of high academic quality, the Faculty office began and continues a review of various aspects of its curriculum. On the one hand, the Faculty offers an extraordinary range of some 1,600 degree combinations; however, a significant number of these degree options have 25 or fewer students across all four years. Every degree program, regardless of size, requires regular administrative review of its course offerings, programming preparation for each registration cycle, and annual review of Calendar details. Since maintaining a faculty complement to sustain these low-demand programs is increasingly challenged by budget realities, it is impossible to continue to offer so wide a selection of concentration combinations. While the Faculty has attempted to keep this degree of choice available to meet the academic target of maximizing students' potential choice, the lack of constituency demand and the shortage of resources required to maintain these programs makes it necessary to be selective in keeping all these degree paths available.

On the other hand, an ongoing challenge facing Arts and Science as numbers increase is that many high-demand programs are turning away well-qualified students, and resources are needed to attempt to continue to meet student demand. The upward pressure on minimum averages to enter the second year of many programs is becoming increasingly acute. The strategic challenge in this particular instance is to redeploy limited resources, both financial and human that we have, meet some of this student demand more effectively.

c. Goal 3: On Faculty Complement

- **Balance the reliance on permanent tenured, tenure-track and continuing adjunct faculty against the use of adjunct instructors in sustaining the teaching, research and service missions of Arts and Science.**

Rationale: Full-service tenured and tenure-track faculty members set limits on the sustainable core of teaching, research and service. They are thoroughly vetted to fulfil the teaching and research strategies of the department, Faculty and University and integrate teaching and research in their positions. Adjunct appointments are important to the delivery of many teaching and service needs for the Faculty, but are often made to fulfil a more limited range of teaching and service needs and do not usually include responsibilities for research contributions within their appointments. Given the current QUFA Collective Agreement parameters, an imbalance is arising in the number of adjuncts in essentially permanent continuing adjunct positions.

d. Goal 4: On Graduate Programs

- **Protect, as much as possible, graduate student enrolments, TA budgets and graduate programs through the end of the Reaching Higher program**

Rationale: The Faculty is committed to continuing with the *Reaching Higher* initiative for both academic and financial reasons. The increased demand by the very same constituency that made up the double cohort and the incentives from government have made this opportunity one that made sense from a strategic perspective. From the academic perspective graduate students are essential to the continuance and support of both the research and teaching enterprises in Arts and Science. They are often in the forefront of advancing knowledge in the institution and, after leaving the institution, provide significant contributions to a growing knowledge economy. The financial opportunity offered by the *Reaching Higher* program established by the Provincial Government is a significant incentive to build on an area of growing strength within the Faculty.

As of November 1, 2009, the Faculty of Arts and Science and its departments have reached the targets which maximize the opportunities provided by the *Reaching Higher* program for Queen's. Admission at 2005 baseline for growth was as follows:

MA	MSC	PHD	=	Total
206	227	358		791

Admission at 2009-10 reaches steady state and appears as follows:

MA	MSC	PHD	=	Total
274	258	464		996

The final result is a growth of 99 Master's and 106 Doctoral students over the 2005 baseline for a total of 205 additional graduate students. The Faculty is committed to maintaining this steady state for 2010-11, and is working in consultation with the School of Graduate Studies to ensure this enrolment target is achieved.

e. Goal 5: On Organization and Governance

- **Review the organizational structures of the Faculty with a view to ensuring that high quality administrative service and support is an ongoing core value of Arts and Science.**

Rationale: The governance and organization of the Faculty of Arts and Science can be understood in terms of two interrelated elements: its governance structures and the faculty members and staff who bring these structures to life.

The long tradition of decentralized operation, one which allows academic innovation and autonomy, has yielded an array of excellent programs, but it also becomes increasingly challenging with the need to rationalize and strategize the distribution of resources. The Faculty Office has begun to undertake an investigation of how negotiations for increased collaboration among departments and potential amalgamation of departments might sustain the range of academic programs and opportunities available to the student beneficiaries of the Faculty.

However, exploration of initiatives such as these involves careful negotiation and respect for the academic interests of each unit. Furthermore, the interests of staff members offering support for the teaching, research and administrative missions must be kept in mind. Together with the faculty members, staff play an essential role in maintaining high-quality programs and services. They are critical contributors to the overall goal of achieving organizational excellence, to serving the needs of the student constituency and ensuring the smooth execution of academic programs.

8. Challenges and Choices

As noted in Section One, the central challenge in formulating a vision of strategic excellence for the Faculty of Arts and Science lies in the richness and diversity of the Faculty itself. Its range of disciplines gives rise to an equally wide range of opinions and potential directions, and its variety of programs, services and operations requires a careful consideration of how this variety might best serve an educational environment conducive to teaching and research. The detailed comments offered by departments in answer to the questionnaire set out in Appendix One of the Principal's document offer specific responses to the Principal's vision statement. These statements form a companion to this document and describe the rich diversity and commitment to excellence evident in all areas of Arts and Science. The following comments are dedicated to broader areas of interest that directly and indirectly affect faculty members, staff and students. Discussion of undergraduate and graduate education, research, internationalization and diversity, the structure and organization of the Faculty and the practice of budgeting across the Faculty provide a focus for self-examination, self-assessment and selection of a future path.

The following six subsections incorporate submissions made to the Faculty Office on these areas and offer some concrete suggestions to consider for future strategic directions in specific aspects of our operations. Each subsection is divided into three parts. The first, Exemplary Practices/Current State, outlines some theoretical best practices in each section and offers comments on current activities undertaken in the Faculty. The second part, Challenges, indicates some of the immediate and long-term challenges faced by Arts and Science. Finally, the third part of each subsection, Choices, offers potential future directions.

a. Undergraduate Education

Exemplary Practices/Current State

As pointed out in the earlier discussion of the academic and beneficiary perspectives on excellence, the Undergraduate Degree Level Expectations (UDLES) and National Survey of Student Engagement (NSSE) offer two useful approaches to academic excellence for education, and particularly for undergraduate education. The UDLES criteria include depth and breadth of knowledge, knowledge of methodologies, application of knowledge, communication skills, awareness of limits of knowledge, and autonomy and professional capacity. The UDLES criteria was established by the Ontario Council of University Academic Vice-Presidents and adopted by Senate for the assessment of programs in the course of Internal Academic Reviews. The NSSE results provide a measure of student satisfaction, and are increasingly used by *Maclean's* in its yearly university rankings issue,¹² and the Office of Institutional Research and Planning which provides data for the NSSE survey has recently collated a multi-year profile of University-wide measures derived from the survey. While the small sample size precludes their use at the departmental level, NSSE results should be reviewed in depth by both the Faculty Office and by discipline clusters (e.g., languages, humanities, social sciences, creative arts, physical sciences) to provide a larger context for consideration of the undergraduate learning environment. The NSSE survey assesses the level of academic challenge, active and collaborative learning, student-faculty interaction, enriching educational experiences, and supportive campus environment. Increasingly the UDLES criteria and NSSE results provide at least two standards anchoring discussion of academic quality of all Arts and Science undergraduate programs and revision of these programs in light of a range of increasing resource restrictions.

In the latter half of 2008-09, the Faculty office undertook a review of all current degree combinations in terms of the number of active concentrators enrolled in each degree path over all four years of the program, the number of graduating students and the number of permanent faculty members

¹² See the print version, "What You Think in Two Major Surveys, Universities Get Graded by Their Own Students," *Maclean's*, November 16, 2009; or the online version at "Rankings: Maclean's On Campus," <http://oncampus.macleans.ca/education/rankings/>.

necessary to sustain these degree programs, types and concentrations.¹³ This review was undertaken in consultation with academic departments to allow an opportunity to consider the refocusing of priorities, to act immediately on the redistribution of resources (in cases where this applied) and to ensure that no students were admitted to programs where future budget cuts would lead to closure of programs. This action was also consistent with the Faculty of Arts and Science goal in the most recent budget submission to the Vice-Principal (Academic) of maintaining "strong undergraduate programs while introducing selectivity in the maintenance of low demand or under resourced programs."

The pattern of student demand that emerged in this review demonstrated that the Major degree concentration and the Major-Minor or Major-General combinations were clearly among the most popular degree choices. The Major-Minor combination alone accounts for some 34% of degree enrolments. The Medial combinations, particularly the BSCH Medial degree, and the Subject of Specialization Science degree (SSP) and the Special Field Concentration (SPF), with requirements of 14.0 to 18.0 credits tend to those generating the least demand. The one exception in terms of volume of demand is the SSP in Life Sciences. These indicators suggest that a focus on major and minor or general degree programs is in order. Some versions of the Subject of Specialization, however, those that help students meet the external accreditation or employment criteria or specialized degrees with sufficient resources to continue to sustain them, still play a role in the educational environment. So the SSP degrees in Geology, Environmental Studies, Computing and Physics retain a strong academic rationale and meet a particularized student demand.

Heads and Directors of Departments and Programs and Undergraduate Chairs were tasked with assessing the future of degree programs, types and concentrations with fewer than 25 students enrolled across all four years, particularly in light of the budget projections over the subsequent three years. One hundred and nineteen degree paths were identified as candidates for suspension and were closely monitored during the program selection period in April-May 2009. During the April-May program selection period, 26 students requested access to programs in this low enrolment group. At the start of the 2009-10 academic year, departments were instructed to follow a more formal procedure in assessing the future of each degree program, type and concentration with fewer than 25 students across all four years. Departments or Program Directors could choose one of two paths. On the one hand, they could choose to delete the particular degree program, type and concentration. In this case, departments were instructed to submit program deletion forms to Curriculum Committee. On the other hand, department Heads or program directors seeking to continue a particular degree program, type and concentration were instructed to submit a statement indicating the academic rationale for continuing the particular program, including a statement of how the program fits into the overall academic plan of the department or unit (with reference to the unit's most recent IAR where available) and a financial and human resource discussion of how the program would be viable through 2012-13. In the case of degree paths dependent on the sharing of teaching resources with another department or unit, both units had to support the continuance of the program and show how it could be sustained and staffed. Programs which were demonstrated by departments to have sufficient academic significance, ongoing student demand and sufficient resources available over the next three years continue to be offered, even where enrolments are below the 25 student concentrators.

In the Fall of the 2009-10 academic year, Arts and Science also launched a pilot project involving virtualization in three courses. The pilot was made possible by funding from the Principal's Innovation Fund. A careful process of negotiation with instructors and departments who indicated interest in the introduction of some component of virtualization led to the selection of Film 240, Biology 102 and Political Studies 110 as courses to be carefully monitored for quality of technical, academic and administrative support in the pilot project. A collaborative approach involved the Centre for Teaching and Learning, Information and Technology Services, the Principal's Task Force on Virtualization, the Departments involved and the Faculty Office, all in support of the instructors. This particular mix of

¹³ See Appendix D on the Faculty Board meeting of April 4, 2009 for information on this initiative at "Faculty Board, Faculty of Arts & Science, Queen's University," <http://www.queensu.ca/artsci/facstaff/facboard/index.html>.

courses provided an opportunity to run a pilot project of a manageable size with courses across three disciplines—Arts, Science and Social Science—with instructors with different pedagogical approaches and with different uses of technology.

Film 240, Media and Popular Culture, has been offered in the past two academic sessions as a live lecture with a streamed accompaniment available to students after the lecture. With the help of the Principal's Innovation Fund, Arts and Science worked with the instructor, Sidney Eve Matrix, to expand the course from 450 to 700 students at McArthur Hall, and the expertise of Dr. Matrix was used to provide technical and pedagogical advice for the instructors of the Biology and Politics courses and the collaborative team overseeing the project.

The lectures for Biology 102, Introductory Biology of Cells, were captured and uploaded for use by all three sections of the course (approximately 1,000 students). While sections A and B were offered as live lectures and the students could use the video-captured lectures for review, those enrolled in section C experienced lectures as streamed events only after the A and B sections were delivered. This third section became a pilot preparing for an entirely online experience. Arts and Science and the Department of Biology worked together to provide periodic (approximately once a month) tutorials for students from the third section to attend in preparation for exams.

The Political Studies first-year course (Politics 110, Introduction to Politics and Government) used lecture-capture technology to preserve and upload the lectures for use by students in the course. In this pilot project, the virtual element was mainly considered an experiment in offering a supplement to the standard live lecture.

Assessment of the outcomes of the pilot projects in Biology 102 and Politics 110 was undertaken through surveys conducted by Andy Leger, supplied by the Centre for Teaching and Learning to work with instructors and the Faculty Office. In a survey of students undertaken at the end of the course, 87% of those in Biology 102 and 83% of those in thought the availability of streamed lectures was extremely useful or useful. Students further observed that the video lectures improved their understanding of the material (48% responding in Biology 102 and 47% in Politics 110). At the same time, students polled indicated that there was a distinct problem in hearing the discussion or questions in the lecture (27% noted this for Biology 102 and 42% for Politics 110). The results generally indicated that students saw the video-captured lectures as an asset to the course, but there is still room for improvement on the technological side. The instructors involved in this pilot all agreed that they would like to continue this exercise. It is clear, however, that this supplement to technology is appropriate for only some instructors and works where there is sufficient support for the instructor in adding this kind of element to an existing course. Outstanding issues related to this initiative include the potential limits to existing bandwidth, the types of rooms available, ownership and copyright and accessibility for students with disabilities.

Challenges

As pointed out in "The Provincial Challenge" (Section Two of this document), The Ministry of Training Colleges and Universities estimates that 20,000 post-secondary places are required in the next year and from 47,000 to 52,000 over the next decade. The demand from students—the immediate beneficiaries of a Queen's education—and from government and parents—the indirect beneficiaries of post-secondary education—will prove a significant force leading Queen's and all other Ontario institutions to increase enrolments. Further, the March 24th budget announcement from the Ontario Government indicates that one of the few new sources of increased revenue for Universities will become available through increased student enrolments. However, it is critical to take a measured and strategic approach to enrolment growth given that an increase in the undergraduate student population brings with it pressures on course size, on the available classroom space, on the ability of the institution to create a functional timetable, on residences and on the time commitments required by faculty members and staff to offer quality programs and services. Innovation in curriculum and pedagogy, and careful consideration of how resources are deployed to meet increased enrolment

pressures are essential as Arts and Science and Queen's as a whole move forward to participate in the increased demand across the university system.

Beyond this, the Faculty of Arts and Science needs to consider carefully its central beneficiaries, its students, and give careful consideration to how it shapes its programs and its image to continue to attract excellent students who are motivated to develop critical thinking skills in analysis, synthesis, making judgments and applying theories. The Faculty has been fortunate to be able to attract such students in the past. However, several threats appearing in the form of resource constraints, the pressure to increase enrolments and the increased competition by other institutions for the same students may undermine Queen's ability to attract excellent students. A review of the departmental responses from Arts and Science departments shows that many of them feel that increased enrolment and declining faculty complements leading to larger class sizes and student-faculty ratios will threaten student-faculty interaction and active and collaborative learning. NSSE scores for Queen's in the area of student-faculty interaction tend to be lower than at many of our competitors. At the same time, it is clear that the current fiscal situation has led to fewer academic programs and more competition for spaces in programs that remain.

Choices

Variations in departmental organization, curriculum, faculty complement, staff support, the presence or absence of graduate students as part of the support for the undergraduate program and pedagogical styles among departments mean that one solution or one direction will not meet all needs. In some departments, such as the languages and the creative arts, pedagogical imperatives require that classes not exceed relatively small sizes. Other departments are already used to teaching large first and second year classes. However, the changing future, one defined by limited or no additional financial increases and with an increasing undergraduate population, requires a readiness for review, change, adaptation and innovation. Some current activities underway give a sense of possible future directions for undergraduate education in the Faculty of Arts and Science.

Currently almost all departments are undertaking review and reconsideration of their programs and courses. The critical imperative is to balance what is consistent with academic excellence, what takes into account student demand, and what is sustainable within current resources. More than 700 submissions to the Arts and Science Curriculum Committee this year (double the average rate of submission) indicate that a range of revisions are underway. Almost all combinations of the BSCH Medial, for instance, a degree type which had only one concentration pairing with more than 25 students across all four years of its program, have been eliminated. Several other low-enrolment degree programs, types and concentrations have been deleted by departments. In their place, some new or revised versions of existing concentrations have been developed, following the generally popular Major-Minor structure. The Fine Art and Linguistics programs are in the process of moving from the SPF type to the introduction of a Major, providing the flexibility for students to combine these Majors with Minor degrees or to take a stand-alone Major with a greater number of electives. Chemistry has introduced an Arts Minor for possible combination with any Major degree.

At the course level, departments are not only revising course content, but reweighting courses at the upper-year level to reflect student workload and investigating the use of virtualization as an added pedagogical component. The NSSE survey has highlighted a challenge for Arts and Science at Queen's: student-faculty interaction scores at Queen's are lower than the national average, and it is important to consider ways of facilitating these interactions. The use of some form of culminating senior academic experience or capstone course may provide one possible solution and many departments are already using or are currently enhancing or introducing these. At the senior level, many departments offer capstone courses in which students participate actively in research either, in the sciences, within a laboratory setting or, in the humanities, in a seminar format coupled with a large-scale independent thesis or reading project. These courses have credit weightings ranging from 0.5 to 2.0, and it is possible that this academic milestone should form a part of each degree path. This culminating experience could be designed to meet the UDLES requirement of an Honours degree program expected to develop "knowledge and critical understanding of key concepts,

methodologies, current advances, theoretical approaches and assumptions in a discipline overall, as well as in a specialized area of discipline."¹⁴

Many departments have either adopted or are considering adopting approaches which make use of different pedagogical methods. Chemistry is utilizing virtualization support for labs in at least one course and wishes to investigate further possibilities offered by this technology. Psychology is reviewing the potential for use of such technology in its first-year course. The Faculty Office will work with departments and instructors to develop sustainable and workable delivery methods for courses. The virtualization pilot is only one of many possible initiatives. Virtualization can take many forms, and use of it comes with the awareness that students still need to interact with their teachers and their peers and not just sit in front of a computer. The possibility of introducing different forms of this technology to three or four more courses in the next year is worth exploring, but can only be pursued where an instructor and department believe there are sound academic and pedagogical reasons for doing so and where the project can be managed within existing resources. The Continuing and Distance Studies unit is exploring additional options with departments for alternate modes of presenting its distance education courses through this technology.

Within the undergraduate program there exist several opportunities for inter-departmental collaboration in program offerings whether stand-alone or in the context of departmental amalgamation. In the Languages, a new minor program in World Languages has been introduced for the 2010-11 academic year. The Linguistics program has also undertaken a revision of its Special Field Concentration (SPF) requiring 14.0 credits to a more sustainable Major program requiring 10.0 credits. These two changes will offer students the opportunity to combine Linguistics with other minor concentrations, and even combine the study of Linguistics with a concentration in a range of languages or with a specific Language Minor in, for example, French or Spanish. These moves would support further consolidation and foregrounding of degree programs in the Modern Languages, many of which currently have very low enrolments.

More preliminary discussion is occurring among the Creative Arts departments on interdisciplinary first-year courses. Such courses might free up faculty time in these departments to focus on upper-year courses, which in the Creative Arts fields tend to be especially highly resource-intensive. Environmental Studies, Geography, and Geology, departments with allied interests, are already exploring collaboration in common course offerings. These models of cooperation and interdisciplinarity might be expanded into a reconfiguring of current offerings into key thematic areas of study available to a wide range of students.

b. Graduate Education

Exemplary Practices/Current State

The critical importance of a high-quality graduate program cannot be overstated where research intensiveness is an essential component of the identity of the institution. A high-quality graduate program stands as an important complement to research activities in the university, trains students to be the next generation of faculty members or advanced researchers, supports and enriches undergraduate education, and develops intellectual skills necessary to a knowledge-based economy which is continually changing and requires lifelong updating and upgrading of these skills. The Council of Ontario Universities, in a report on increased demand for graduate education, offers an analysis of the graduate learning environment that stands as a good starting point for discussions of graduate education in the Faculty of Arts and Science. The graduate learning environment, as described in the COU report, is defined by three specific characteristics:

¹⁴ See item 1a under "Depth and Breadth" for the Bachelor's Honours Degree Ontario Council of Academic Vice-Presidents, "Undergraduate Degree Level Expectations Guidelines."

- It is *advanced* in that it is not simply another year or more of the same, but is based upon prior completion of an undergraduate degree in the same or related areas as the basis of admission and upon the prerequisite knowledge gained in that undergraduate education.
- It is *focused* in that while breadth of knowledge is important, the emphasis is on depth-concentration of study in a discipline, in a field within that discipline, and through the thesis research, in a subject within the field.
- It is *scholarly* in that it is concerned not simply with the acquisition of knowledge and skills, but with the critical analysis of existing knowledge and the creation of new knowledge.¹⁵

The graduate programs offered in departments in the Faculty of Arts and Science demonstrate a profound commitment to these characteristics and display faculty members' engagement with academic excellence. However this is an important period of transition for the Faculty of Arts and Science. It is now more actively engaged in the governance of graduate programs through the restructuring of the School of Graduate Studies, and in the wake of reaching the graduate targets proposed as part of the *Reaching Higher* program, the Faculty is in the process of considering (or reconsidering) the management of its graduate programs as a steady-state model rather than an increased growth model.

Challenges

Reports from several of the Faculty's larger departments in the three-year budget plans point to an area of increased concern. While numbers for 2010-11 meet the steady state targets of 2009-10, and indeed show possibilities of some increase in graduate intake, the forecasts for 2011-12 and 2012-13 show an increasing inability to finance TA positions and other financial incentives to graduate students under the budget parameters used. In addition, the likelihood that retiring or resigning faculty members will not be replaced may leave insufficient supervisory capacity. As a result a number of the departments with larger enrolments predict an inability to sustain the current intake and are asking to reduce or, in some cases, eliminate their graduate programs. However, as clarified in the February 2010 Arts and Science draft planning document (and reiterated in section 4 above), there is considerable budget uncertainty beyond 2010-11. Future budgets may be significantly better than the original planning assumptions beyond 2010-11 depending on which budget assumptions are used. As pointed out earlier, the prioritization of TA funding proposed by Vice Principal (Academic) Deane reinforces the importance of TAs as a University-wide priority and has become a basic assumption anchoring graduate studies as a critical imperative for Arts and Science.

The May 2009 Senate document entitled "Governing Framework for Graduate Studies" outlined a restructuring of the administrative relationship between the School of Graduate Studies and the individual Faculties to allow for fuller integration of graduate operations within the Faculties and to allow for more comprehensive dissemination of information within and across each Faculty.¹⁶ This improved integration has become increasingly important in recent years given the fact that the authority for the hiring of the faculty members required to sustain graduate programs resides in Faculties and not in the School of Graduate Studies. In addition, the financial resources for maintaining, increasing or initiating programs and courses also resides in the Faculties, and the structures and processes put in place as a result of this document are intended to ensure that the Dean and Associate Deans are aware of and can comment on the feasibility of any changes to graduate programs. However, the challenges in implementing this restructuring have been significant. Implementation of two new Graduate Councils, development of administrative structures to oversee graduate curriculum, and construction of operational manuals for the Councils have proven

¹⁵ Paul Davenport et al., *Advancing Ontario's Future through Advanced Degrees: Report of the COU Task Force on Future Requirements for Graduate Education in Ontario* (Council of Ontario Universities, November 2003), p. 4, <http://www.cou.on.ca/content/objects/Advanced%20degrees%2021.pdf>.

¹⁶ See the report under item III.1.c of the May 20, 2009 Senate meeting at "University Senate," <http://www.queensu.ca/secretariat/senate/agendas/index.html>.

challenging, particularly in an environment where so much change is taking place and so much budget uncertainty resides.

Choices

Several issues for discussion have recently emerged in the area of graduate studies.

First, a formal strategy for managing enrolments must be developed and a desired proportion of graduate to undergraduate enrolment must be determined. Graduate enrolment currently stands at approximately 15% of the student population in Arts and Science. The Faculty continues to work with the School of Graduate Studies to ensure that the overall steady-state enrolment targets for the Faculty are supported by localized targets within each department. Two aspects of enrolment management must be further developed in the coming year:

- first, a collaborative process for negotiating overall steady state enrolments should be further refined to negotiate the fixed overall targets or any change to these fixed overall targets;
- second, a collaborative process for managing enrolment fluctuations among various individual graduate programs is also critical to the ongoing success of the graduate enterprise.

Careful enrolment management must be used to oversee the flow-through rates of funding-eligible students, the balance of domestic and international students and the financial and human resource capacity of each department to maintain, increase or diminish enrolment. Where shifts in enrolment take place an overall plan for compensation among units must be developed and enrolment changes monitored.

Second, the identification of programs with potential to grow and those vulnerable to closure must take place. The introduction of the interdisciplinary Cultural Studies program has proven very successful among faculty at Queen's with involvement across a wide range of departments and has also attracted a wide range of highly qualified students. The capacity for growth in this program must be assessed against the human and financial resource base in the Faculty and against potential decline in enrolments in other graduate programs. Within a framework of diminishing financial and human resources graduate programs may be threatened. The MA in Spanish, for instance, has been closed since there are not sufficient faculty numbers to meet accreditation requirements and there is not sufficient student demand. More challenging in 2011-12 is the projected likelihood that important programs will begin to reduce their graduate intake significantly if there is no improvement in the budget environment. As mentioned above, the active recruitment process undertaken to increase graduate enrolments to meet the opportunities provided by the *Reaching Higher* program lead now to a reassessment of how to maintain these numbers.

Third, a new organizational model that integrates administration of graduate programs must be implemented and finalized. The restructuring of the School of Graduate Studies and the transition of aspects of its operation to the Faculty have offered significant opportunity for greater integration and understanding of advanced studies within the larger operations of Arts and Science. The Faculty is working extensively with the School of Graduate Studies to implement this transition

c. Research

Exemplary Practices/Current State

In developing an academic plan for the next five years, it would be easy to focus only on the short-term challenges, and fail to recognize the major accomplishments the University has achieved under previous (often) less-than-ideal circumstances. Over the last 20-25 years Queen's has grown from its historical base as a primarily undergraduate-focused institution to become one of the top five

research intensive universities in Ontario. On a per-capita basis, the Faculty is a national leader using metrics such as number of awards per faculty member and Tri-Council funding. These increases in funding and external “profile” have accelerated especially over the last decade, in conjunction with new federal and provincial initiatives, as well as the University’s strategic allocation of resources to support faculty in their research endeavours, such as Queen’s Office of Research Services. Queen’s historical success, it can be argued, has derived largely from being able to attract excellent scholars, based on a decentralized planning process, rather than strategic top-down initiatives. This situation is both a strength and a weakness, creating an overall body of strong researchers, but not providing a specifically defined set of research areas. By developing a culture of research excellence, the Faculty has benefited directly in being able to attract and retain outstanding faculty and students, key to the success of our academic mission of educating students within a research-intensive environment.

The Faculty of Arts and Science has taken a leading role in this transformation, as revealed by the accompanying submissions from our departments and programs. The sheer diversity of research activities attests to the strong engagement in the widest possible range of research areas. From studies of digital culture to race, gender and HIV/AIDS, from aquatic toxicology to developmental psychology to global political economy, faculty and their students are not only pushing the boundaries of their traditional disciplines but are also increasingly cutting across these boundaries, often by reaching out to collaborators at Queen’s and beyond. The outputs of this activity may range from performance art to patents, from improved pandemic modeling to new techniques for identifying ancient artifacts. Over the last decade, Arts & Science has taken an increasing partnership role (with the VP (Academic) and VP (Research) in supporting the development of this research intensive environment. Since 2005 we have allocated about 30% of the Faculty’s annual budget to support a diverse array of research needs. While the largest portion of this figure would be represented by the generic 40% research estimate of full-time faculty member salaries (based on the 40:40:20 workload model), the range of support also includes well-known items such as Research Initiation Grants for new faculty, Teaching Relief Stipends associated with the (recently-defunct) SSHRC Standard Grants RTS programs, and the Dean’s Conference competition (including undergraduate conferences), Dean’s Equipment and Student Resources competitions. Less well-known are supports include the following:

- Contributions to Advisory Research Committee grants;
- Teaching Relief for Canada Research Chairs, other chairs or award winners (e.g., QNS), and newly hired faculty;
- Capstone Experiences for fourth-year undergraduates, linking teaching with research;
- Renovations & Alterations;
- Research Support for Department Heads’ and Associate Deans;
- TA support for Graduate Student stipends;
- Matching Funds for Canadian Foundation for Innovation applications, NSERC and SSHRC initiatives as well as other agencies requiring university partner support; Support for cross-faculty research initiatives, for example, the Mass Spectrometry and Proteomics Service Unit (Arts & Science/Health Science);
- Research support for Faculty Retention; and Professional Review Services for draft grant applications (in partnership with the Office of Research Services).

From this list, which is not exhaustive, it is clear that Arts and Science research funding is not simply a top-up to external grants, but helps train students, promotes interdisciplinary collaboration and internationalization and provides opportunities for scholarly activities that benefit a wider audience.

Challenges

It is important to point out that protecting the quality of the research environment has been an ongoing preoccupation for some time, and the current budget circumstances only exacerbate what has already become a challenging task. The chief external pressures have been significant changes

in the research funding environment as a result of new government policies and the sharp increase in competition for such funds from peer institutions. The addition of new federal monies (e.g., Canada Research Chairs, CFI), while welcome, has required significant matching investments. Recent changes to Tri-Council strategic plans have also diminished funding opportunities for single-scholar, inquiry-based research, in favour of collaborative, team-based opportunities targeted to initiatives with identifiable outcomes. Increasingly, granting bodies require applicants to develop partnerships with other sectors, and this is especially true in the physical and applied sciences, where industry support has become crucial. Queen's historical strength as a community of (largely) single scholars, in a locale with modest industrial activity, is not an easy fit in this niche. Within the University, our commitments to a mid-sized student body coupled with excellence in undergraduate education also place unique demands on faculty researchers. Thus, Queen's has had to work hard to attract and retain top scholars, maintain its reputation to attract high-quality graduate students, and continue to support a vibrant research environment. The current budget pressures place all these in jeopardy.

In their submissions, departments identify the risks that attend a decline in research support, as inability to retain their top faculty, reduced ability to lead (and thus direct) major collaborative research initiatives and loss of momentum in developing internationally-significant programs. The most pressing needs for researchers are increased support for technical staff, instrumentation and infrastructure, and relief from non-teaching workload demands that eat into precious time for scholarly activities. Of these, the "time famine" is easily the most widely-reported problem and the most difficult to mitigate.

Choices

Over the last year, Faculty has been forced to turn back almost all requests from researchers for support. The ongoing budget challenges mean we have to examine our role as providers of essential research funds. At the same time we need to ensure our researchers can take full advantage of new opportunities to pursue initiatives, which increasingly require transcending traditional disciplinary boundaries and forging new collaborations.

In the absence of new funding sources, one obvious choice would be to withdraw from support of faculty-based research until the fiscal situation improves. The Faculty feels, however, that jettisoning all involvement in research would be a mistake, not the least of which would be the loss of our ability to promote research activity and to advocate on behalf of our departments. Such a withdrawal would also significantly weaken the Faculty's mission to ensure that research is integrated with undergraduate teaching. An alternative is to restrict faculty support to a limited subset of research requirements, such as Research Initiation Grants, or initiatives that involve the teaching environment. A third option, either in conjunction or instead of the latter, would be to create a research fund for reallocation, perhaps twice a year, where proposals could be evaluated. Limited input from departments suggests there is some support for the Faculty to maintain its presence in research support – but not at the expense of the teaching environment.

The Faculty also supports:

- Taking up Principal Woolf's suggestion to encourage faculty to modify workload from the standard 40:40:20, to accommodate shifting emphases in activity over the career course
- Helping units develop centralized technical services, which would become self-supporting
- Helping research clusters develop in collaboration with the Vice-Principal (Research), for example as Senate-approved Research Groups, with fixed-term funding, after which they would become self-sustaining
- Encouraging units to pursue entrepreneurial activities (in consultation with Advancement) such as expendable named chairs or named postdoctoral fellowships

As regards new research initiatives, the Faculty recognizes the utility of identifying areas of strength to guide crucial decision-making. Pragmatically, many of today's most challenging problems require an interdisciplinary approach, and since Queen's remains a mid-sized university, strategic investment

in research must exercise selectivity. At the same time, we should not underestimate the importance of recruiting leading-edge scholars and providing them with a supportive environment to pursue their investigations. The Faculty is confident that this is the fundamental key to staying “ahead of the wave.”

Over the next five years, the opportunities for research investment will continue to grow. Arts and Science is fortunate to encompass a large and diverse pool of talented researchers, in disciplines with varying modes of inquiry, ranging from the single scholar, to small groups and larger (often international) collaborative teams. Researchers may be motivated by a variety of equally valuable perspectives, from fundamental, discovery-based investigation to more applied pursuits. In these circumstances, the utility of any attempt to identify “the” key emergent research foci within the Faculty must be seriously questioned. Rather, we choose to offer a sample of some of the many areas within the Creative Arts, Humanities, Social Sciences, and Physical and Natural Sciences which may hold particular potential for faculty in Arts and Science:

- Advanced materials and green technologies
- Applied performance and the creative arts
- Climate and vulnerable ecosystems
- Culture, society and development
- Diversity and social justice
- Environment: energy, earth resources and sustainability
- Governance, public policy and markets
- Information, communication and digital media
- Knowledge ecologies¹⁷: medical, technical and environmental humanities
- Populations, health and behaviour.

These areas, many of which offer opportunities for interdisciplinary collaboration with individuals across departments and in other Faculties at Queen’s, are provided here to stimulate discussion of research interests. They do not identify organizational structures in the Faculty. They are also not intended to preclude or undermine the pursuit of individual, curiosity-based research by faculty members.

d. Internationalization and Diversity

Exemplary Practices/Current State

Providing opportunities for international study gives rise to at least three important benefits for the University as a whole: excellent students are attracted to Queen's as a result of our growing reputation for providing such opportunities; the integration of cultural diversity into the learning experience on a day-to-day level is significantly enhanced; and our student ambassadors contribute significantly to raising the international profile of Queen's in more than 25 countries.

Internationalization and diversity are intertwined elements in the institutional contexts of post-secondary education. Internationalization has been defined as “the process of integrating an international, intercultural, or global dimension into the purpose, functions or delivery of postsecondary education.” The international dimension involves “the sense of the relationships between and among nations, cultures or countries”; the intercultural dimension recognizes the “diversity of cultures that exist within countries, communities, and institutions; the global dimension provides “the sense of worldwide scope.”¹⁸ The expanded participation of our own students in international study together with the presence of incoming exchange students contributes significantly

¹⁷ See Jane Kenway, Elizabeth Bullen, and Simon Robb, eds. *Innovation and Tradition: The Arts, Humanities, and the Knowledge Economy* (New York: Peter Lang, 2004).

¹⁸ Jane Knight, “Updating the Definition of Internationalization,” *International Higher Education*, no 33, Fall 2003, http://www.bc.edu/bc_org/avp/soe/cihe/newsletter/News33/text001.htm.

both to the experience of diversity on campus and to the preparation of our students for global citizenship and leadership in a rapidly shrinking world.

Over the past few years, the Faculty of Arts and Science has significantly expanded its commitment to the importance of internationalization. Opportunities for an upper-year international exchange experience have greatly increased, with close to 150 upper-year Arts and Science students now spending at least a term (and in many cases a full academic year) at one of almost 100 international partner institutions, bilateral and consortial, in some 25 countries, complemented by a corresponding number of incoming international exchange students. Student interest in international study is currently at an all-time high: the number of outgoing exchange students, for example, has tripled over the past ten years. A further factor worth recording is that if we take a typical graduating class in Arts and Science as consisting of roughly 2,500 students, recent statistics suggest that approximately 19% of that class will have spent at least one term studying abroad, as opposed to just over 14% five years ago.

The work of the International Programs Office has been critical in the cause of internationalization, notably by continuing to promote vigorously the importance of international study, by expanding the previously unduly Eurocentric focus, and by contributing significantly to the initial funding of the Queen's China Liaison Officer position. A further key element of the Faculty's internationalization strategy is the Queen's School of English, which continues to attract a steadily increasing number of students from a variety of countries, especially from Asia and the Middle East.

The Arts and Science curriculum on campus and off demonstrates its engagement with internationalization. The development of INTS courses is only one initiative designed to foreground international issues in the undergraduate curriculum. Courses and programs in Global Development Studies, Political Studies, History, English and the Languages promote the sense of the international and the cultural. Courses and programs taught abroad by individual Arts and Science departments include an award-winning DEVS semester program at Fudan University in Shanghai and individual courses such as a DEVS Cuban Culture course in Havana; an Art History course in Venice; Classical archaeological digs in Italy and Jordan; and Biology field trips in China, Mexico, or Argentina. Upper-year students also have access to a very wide range of independent study-abroad opportunities organized by accredited universities worldwide.

The research undertaken in Arts and Science is clearly international in nature, involving not only a host of topics of global and transnational interest but also in many instances the opportunity for undergraduate exposure to faculty members and graduate students from a wide range of other countries and cultures. Diversity, while not defined solely by its relationship to internationalization, stands in a dynamic relation to it, by personalizing and integrating awareness of difference in terms of social and personal identities into the university environment. To quote the Senate Educational Equity Committee: "Diversity in an institutional context refers to the condition of including and accounting for the academic, educational, and/or career development needs and realities of students, staff and faculty belonging to varying social identity groups."¹⁹

Challenges

While the number of Arts and Science studying abroad has risen dramatically, the current pace of globalization requires that departments should be providing an even greater number of our students with international learning experiences and sustained exposure to a diversity of cultures. An associated challenge, however, given the reduced number of senior-level courses and sections in many departments, is to accommodate the correspondingly increased number of incoming exchange students in courses at that level.

¹⁹ "Queen's University Educational Equity Policy," November 26, 2009, http://www.queensu.ca/secretariat/senate/Nov26_09/SEECRpt.pdf.

The past emphasis on and student interest in European destinations for exchanges and International Letters of Permission has produced a predominantly Eurocentric focus for international study, and an ongoing challenge for the Faculty is to provide a more global perspective on exchange and international educational opportunities.

Choices

In emphasizing the international and the intercultural and in expanding from its Eurocentric focus, the International Programs Office (IPO) has for the past several years been working on increasing the number of our partner institutions outside of Europe and the English-speaking world. Students can now study for a term or a year at universities in Argentina, Barbados, Chile, China, Cuba, India, Jamaica, Japan, Korea, Mexico, Singapore, Taiwan, and Trinidad and Tobago. Negotiations are currently underway with further potential partners in Israel, Egypt, and Turkey. Outreach to these areas has become an increasing priority for the IPO and the Faculty generally. The Faculty remains committed to seeking ways of supporting curricular directions and programs which are focused on aspects of diversity.

The introduction of a number of upper-level International Studies (INTS) courses—compensated for so far by discontinuing low-enrolment courses taught by the same instructor—to which incoming exchange students will have priority access is, in part, a remedy for the lack of spaces available in departmentally based courses for incoming exchange students. Further, these courses may, with the permission of any department, count towards any degree concentration. The INTS prefix allows instructors to offer courses on a wide range of international and intercultural topics and students to pursue these course subjects as electives or concentration requirements, thus integrating international studies further into the curriculum. Other departments have also offered an array of courses connected to international and diversity issues, and some are investigating cross-departmental collaborations to strengthen this aspect of the Queen's curriculum.

The Faculty of Arts and Science continues to emphasize diversity, defined in the terms outlined above, as a strategic goal. Recent administrative developments include the appointment of an Associate Dean as Chair of the University's Council on Employment Equity, and the participation of that individual as a member on both the University Aboriginal Council and the recently formed Diversity and Equity Task Force established by the Vice-Principal (Academic). It is in the area of diversity that the Faculty seeks to work most actively in the contexts provided by Senate and by central administration.

e. Organization and Governance of the Faculty

Exemplary Practices/Current State

As outlined in Goal 5, "On Organization and Governance," the organizational and governance structures of the Faculty depend on the effective interrelation of the abstract structures of its committees and departments and the concrete contributions of faculty members and staff who through dedication, engagement and hard work make these abstract structures work.

In terms of the more abstract matters of governance and organization, the Faculty of Arts and Science aspires to the same kinds of best practices sought by any large organization. The Faculty structure is intended to facilitate the development of processes and procedures that ensure the organization meets high standards in the development, operation, and review of all programs and services. Further, Arts and Science governance should enable the collaboration and coordination of activities across a variety of programs and services, and support attention to continuous improvement, cost, value, and responsiveness in all programs, services, and processes.²⁰

²⁰ Adapted from the exemplary practices for programs and services outlined in Brent D. Ruben, *Excellence In Higher Education: Workbook and Scoring Guide: An Integrated Approach to Assessment, Planning, and Improvement in Colleges and Universities*, Workbook. (Washington, D.C.: National Association of College & University Business Officers, 2007), p. 64.

"Achieving and maintaining high standards in programs and services is an essential and shared goal across academic, student life, administrative and service departments and for the institution as a whole,"²¹ and the engagement of faculty staff enables this excellence. High quality administrative service and support is defined by the encouragement of excellence, collaboration, and collegiality as pervasive organizational values. The development of meaningful review, reward, and recognition programs which link individual and group accomplishments to the directions, aspirations and priorities of the organization and the alignment of the jobs and goals of people, on the one hand, and the mission, vision, plans and goals of the organization, on the other, are also critical to the best operation of a large educational organization.²²

Creative Arts, Liberal Arts, Social Sciences, and Natural Sciences stand together as one faculty which provides flexibility and choice for students, although the size and complexity of the Faculty can make it difficult to coordinate common departmental, faculty, and student needs and to consider fundamental and coherent changes in direction. Departments are the fundamental unit of academic and operational administration and departments and faculty members enjoy a significant degree of autonomy. Departmental workload, undergraduate, graduate, and workload committees oversee procedures and innovation at the Departmental level and feed either into Faculty-level committees such as the Curriculum Committee or into the Faculty Office. The Faculty Office manages departmental affairs in relation to budget, staffing/workplace issues, research, and teaching through the office of department heads, in addition to centrally managing research operations, space allocations, and relations with other Faculties. Faculty Board and Committee of Departments operate as the two highest-level Faculty committees, the latter consisting of department heads. The Dean reports to the Vice-Principal (Academic) while Committee of Departments and Faculty Board report to the Dean and to the University Senate.

Challenges

Current and projected University-level financial constraints and their attendant consequences are placing considerable stress on the governance and organizational structures of the Faculty, and can compromise the ability of staff, for instance, to manage their workloads effectively, to offer the best service to their various constituencies, including students, students' parents, faculty members and other offices of the university. Central consideration in this challenge must be given to staff members who, individually and as a group, offer stability and institutional memory to the ongoing operations of the Faculty and the University. Any review, any reorganization, should seek to protect current staff wherever possible, with the understanding that retirements or resignations of staff are unlikely to be replaced, even as the retirements and resignations of faculty members are unlikely to be replaced.

Under these pressures, all members of the Faculty need to explore ways to maintain high quality service and to explore alternative administrative and operational structures that can more effectively cope with and, in turn, manage the University's new reality. Any new structures must provide administrative support for departments, capitalize on the skill sets of its faculty and staff, cope with faculty and staff retirements, and transition to new technologies. Such constraints and imperatives also work against departmental and faculty-member autonomy and increase reliance on the Faculty Office for administrative and operational support. Balancing the University's centralizing tendencies with the Faculty's grass-roots traditions while also maintaining the breadth of courses and programs of study afforded by our united Faculty requires careful thought and thorough consultation.

Current challenges, however, also present questions that beg for answers. What is a department? What size ought a department to be? What is the bare minimum of permanent faculty members required to sustain a minor, a medial, and a major? How can a growing service load be reconciled with a shrinking faculty and staff complements? While finding cost savings is important, it is more

²¹ Brent D. Ruben, *Excellence In Higher Education Guide: An Integrated Approach to Assessment, Planning, and Improvement in Colleges and Universities* (Natl Assn of College & Univ, 2007), 45.

²² *Ibid.*, 57.

important to find a way to restructure the Faculty so that rather than reacting on a crisis-by-crisis basis, all members of Arts and Science can instead seek to manage entry into and exit from the current situation and situate the Faculty, its staff, its governance and its organization to emerge in as strong a position as possible.

Choices

A clear message in all the written submissions part of this process and the discussions that have taken place in Faculty Board, Committee of Departments and the hallways of the Faculty is that the combined structure which brings together Languages, Creative Arts, Natural and Physical Sciences, Social Sciences and Humanities is a strong organizational model which is commensurate with academic excellence. The Faculty should continue as a single organization because its size affords economies of scale in terms of administration and operation, while its breadth allows students to move easily from one concentration to another and to take elective courses in a variety of disciplines with no institutional or administrative barriers. While such size and complexity can make changes cumbersome to achieve, the benefits outweigh the costs. As well, to divide the Faculty would entail dividing the Faculty Office administration, resulting in a loss of economies of scale and the need for expanded academic administrations to manage the constituent Faculties.

The organization of departments, the relations between and among them and the relation between departments and the Faculty Office is perhaps the most complex and sensitive aspect of governance. The long tradition of decentralized operation, one which encourages academic innovation and autonomy, has yielded an array of excellent programs, but it also becomes increasingly challenging with the need to rationalize and strategize about the distribution of resources. The Faculty Office has begun to undertake an exploration of how workload might be streamlined and how negotiations for increased collaboration among departments and potential amalgamation of departments might sustain the range of academic programs and opportunities available to the student beneficiaries of the Faculty. The recent discussions leading to a potential amalgamation of the Language Departments offers at least one possible model for an alternative organizational model. The German Language and Literature Department has recently agreed to integrate the Linguistics program into its administrative structure, and the Department of Spanish and Italian have also recently voted in favour of administrative collaboration with German and Linguistics, leading to a new governance structure designed to sustain the academic importance of languages in the Faculty. The Creative Arts departments, including Drama, the Fine Arts, Film and Music, have also engaged in some preliminary discussions about a future which would see administrative cooperation designed to protect central aspects of the academic interests of each unit. At the same time, so many core disciplinary capacities rest in so many departments that consolidation cannot be pursued wholesale. Instead, we need to explore potential solutions to common problems by considering different levels and degrees of administrative and operational collaboration in conjunction with parallel efforts to maintain as much local-level autonomy and sovereignty as possible.

In an effort to relieve administrative and bureaucratic workloads, to obtain cost savings in non-academic areas, and to put the Faculty in a position where it can manage, rather than react to, change, the Faculty should explore rethinking our current administrative structure. Creating central administrative offices in the various buildings that comprise the Faculty, which could then place current departmental staff in offices that would provide for them a stronger workplace environment than they might currently enjoy, offers one possibility, but there may be others. We recognize that such administrative changes might come with some cost to current levels of departmental service but this might be offset by improved service in some other areas. In the face of the financial constraints the Faculty faces, and in an effort to protect the Faculty's staff complement, changes at the departmental level of administrative and operational support are preferable to changes that might imperil more directly the Faculty's academic programs.

Exploration of initiatives such as these involves careful negotiation and respect for the academic interests of each unit. Furthermore, the interests of staff members offering support for the teaching, research and administrative missions must be kept in mind. The ideal and somewhat abstract

concept of changing governance structures has no chance of succeeding if the commitment, support and engagement of staff are not carefully factored in to any act of restructuring. Together with the faculty members, staff play an essential role in maintaining high-quality programs and services. They are critical contributors to the overall goal of achieving organizational excellence, to serving the needs of the student constituency and ensuring the smooth execution of academic programs.

Given the contexts outlined above, the recommendations of this particular section are necessarily tentative. Exploration of new forms of governance, while often driven by financial pressures, must incorporate a realistic perspective incorporating the requirement to support academic excellence, to meet the needs of the beneficiary groups engaged in pursuing scholarly excellence, and to recognize the resource limits which currently face all in the Faculty.

f. Budget

Exemplary Practices/Current State

The budgeting and staffing strategies undertaken by Arts and Science are designed to support the teaching, research and service missions of the Faculty. These strategies attempt to balance academic imperatives and the demand by students for quality programs with financial, human and infrastructure resources. However, conveying a succinct and readily digestible account of the Faculty budget is not easy. While, fundamentally, the budget consists of revenues and costs, in practice there is a multiplicity of factors that affects both these principal aspects of the budget.

Departmental budgets are, to start with, a historical amalgam of decisions, considered rational at the time they were made, that were taken in response to different priorities in different contexts. Some of the major factors that have played a role in determining departmental budgets include undergraduate enrolments of both concentrators and non-concentrators, graduate enrolments, student/faculty ratios, need to meet external accreditation requirements and strategic research and academic plans. These quantitative measures are not combined in a formulaic way but are weighed in the context of the needs of other departments, the strategic priorities at the time and the budget environment. Moreover, the maintenance of quality in an academic environment requires the consideration of qualitative matters such as those expressed in the UDLES template or in the traditional imperatives that a Faculty of Arts and Science should offer a breadth of programs and learning opportunities, as well as a research environment characterized by freedom of inquiry and freedom of exchange. This integration of qualitative and quantitative factors will continue with any budget model approach and it is important to have transparency of both aspects.

Challenges

Several challenges face a Faculty as diverse in its operations as the Faculty of Arts and Science. Balancing competing demands for resources, conveying a clear and understandable rationale for decisions and bringing changes and modifications to historical aspects of the budget are a few of these, made increasingly difficult given the regularly changing financial landscape inside and outside the University. A former Faculty strategy of attempting to maintain breadth in programs, courses and services is increasingly untenable and past practices of maintaining some programs and courses through the use of "soft" or temporary funds is no longer possible. Sections Five and Six of this document set out some of the more recent strategies behind decision making and the most current goals pursued by the Faculty. But change, particularly change to long-rooted historical budgets comes slowly in a Faculty encompassing the kind of range outlined in the "Overview of the Faculty" in Section Three. Change is possible; however, decentralized structures and the traditions of consultation between the Faculty Office and Heads of academic units makes for slow (but necessarily careful) progress.

An additional critical challenge facing the Faculty is choosing the appropriate balance between cost reductions and generation of additional revenues to balance the budget. While cost reduction and the seeking of efficiencies offers one approach to increasing fiscal constraints, when followed over a

number of years, cost reductions can ultimately erode quality, brings frustration to faculty, staff and students and ultimately compromise the academic excellence and reputation of the institution. Increasing revenue through revenue-generating projects or through enrolment increases is an alternative approach and must be a focus to provide future financial sustainability. Revenue-generating opportunities have been started on a few departmental fronts and received seed funding from the Principal's Initiative Fund. These provide a good start, but they are, for the most part, long-term projects. Flexibility in internal budgeting (and obviously in course and program structure) is needed in responding to the opportunity for growth provided by the recent government announcements that additional spaces are needed in post-secondary education and that incremental funding may be available through participation in this opportunity.

Specific feedback from departments on revenue and costs indicates a seemingly widespread belief that increased enrolments or programs (and thus revenues) must also result in increased investments. However, while that premise would seem entirely reasonable, the ability to make such investments is compromised if escalating annual costs for existing structures exceed such revenues and the operating environment continues to limit opportunities to reallocate resources.

Choices

As has been suggested elsewhere, consolidation of common themes in the Faculty can lead to certain efficiencies. In terms of budgeting, these can take the form of reduced variation of cost drivers including program structures and workload formulas. Regarding short-term resources, the Faculty has expressed a wide range of opinion on whether these resources are best used to finance the status quo for as long as possible, or invested as seed capital for new initiatives that may become self-sustaining in the future.

The Faculty Office believes that the budget model should be driven by a combination of revenue attribution (concentrators, programs), the level and source of student teaching (costs), as well as some measure for departmental performance including teaching, research and service. Factors contributing to the complexity of these discussions include, but are not limited to, the relationship between undergraduate and graduate structures, teaching and research, as well as the extent to which valuable service aspects can and should be incorporated. The Faculty is also mindful that the time required to develop and perhaps more importantly administer the model must also be a consideration.

Work on certain elements of revenue and cost information is already underway in the Faculty Office and it is envisioned that collaboration with the Faculty in some fashion will be required in the near future as various components of a draft model are refined. This collaboration could either utilize existing administrative structures or perhaps development of new structures. Certain elements should have a target for implementation by the fall of 2010 for the 2011-12 budget year with possible completion of more complex elements and discussions by the fall of 2011 for the 2012-13 budget year if necessary.

g. Concluding Comments

The goal of strategic excellence requires careful balance (and sometimes creative tension) among academic, constituency and resource-based perspectives. As emphasized in various ways throughout the twenty-seven departmental responses we received, and as reiterated throughout this document, the goal of strategic excellence originates in the curiosity-based research and teaching of individual faculty members and develops outwards in the increasingly interdisciplinary potential of their work as it intersects with that of other members of the Faculty and other academic units. The future resource-based support for such academic expertise and development will undoubtedly require a degree of coordination in the deployment of financial and human resources in maintaining this academic excellence. The pervasive concern is to balance respect for the past traditions and structures of the Faculty against the potential enhancements of the educational environment available through carefully considered change. The interests of the beneficiaries of this educational enterprise

are a critical component of this strategic balancing act. Respect for the individual research and instructional enterprise and the freedom of inquiry due faculty members and a coordination of the supporting resources for scholarship, teaching and service must combine in an educational context conducive to excellent programs for undergraduate and graduate students, the prime beneficiaries of the work of the Faculty of Arts and Science. As noted throughout the above, and throughout the departmental responses, that goal is not only strategic, but is foundational to the Faculty's response to the Principal's Vision document.

Appendix A: Procedure for Review of Principal's Vision Statement

The following is a summary of the procedure followed by the Faculty of Arts and Science in the preparation of the Response to the Principal's Vision Statement. Over the past three months, the Faculty has engaged in an intensive consultation process which has involved input from the twenty-seven units in the Faculty, discussions at five Committee of Departments meetings (includes all Department Heads), and three Faculty Board meetings. The Dean also met with QUSA to discuss aspects of the planning process, and the Dean and Associate Deans participated in three town hall meetings organized by ASUS (Arts and Science Undergraduate Society). To facilitate input from departments and in the Faculty as a whole, the Faculty of Arts and Science prepared a parallel Faculty briefing document, which was made available to departments two weeks following the release of the Principal's Vision Statement on January 15. Departmental responses to the Principal's Vision Statement and the Faculty briefing document were received in the Faculty Office on February 19. In response to a request from Department Heads, the Principal attended the March 19th Committee of Departments meeting to answer questions about the Vision Statement. Over the course of this consultation period, four drafts of the Faculty's response were prepared and discussed. A summary of the chronology of these events leading to the submission of the final Faculty Response on April 15 is outlined in the table below.

Date	Action
15 Jan	Principal's Statement made available to members of the University.
	Faculty Board meeting. Information on process announced.
29 Jan	Faculty briefing document made available to members of Faculty.
	Committee of Departments meeting.
30 Jan – 19 Feb	Departmental responses to Principal's template prepared and discussed.
5 Feb	Faculty Board meeting,
19 Feb	Committee of Departments meeting.
	Responses from departments due in Faculty Office.
23 Feb	Queen's University Staff Association (QUSA) Speaking Engagement
20 Feb – 4 Mar	Preparation of draft Faculty response to Principal's template.
8 Mar	Faculty draft response distributed to members of Faculty. [1 st draft]
12 Mar	Committee of Departments. Discussion of draft Faculty response.
19 Mar	Committee of Departments (Principal attending). Further discussion of draft Faculty response. [2 nd draft]
26 Mar	Faculty Board. Discussion of draft Faculty response. [3 rd draft]
20 Mar – 1 Apr	Preparation of revised Faculty response.
2 Apr	Revised Faculty response distributed to members of Faculty. [4 th draft]
6 Apr	Town Hall – Students
8 Apr	Town Hall – Students
9 Apr	Town Hall – Students
9 Apr	Committee of Departments. Discussion of revised [4 th draft] of the Faculty response.
10 Apr – 14 Apr	Preparation of final Faculty response.
15 Apr	Submission of the Faculty response to the Principal.

The twenty-seven departmental responses to the Principal's Vision Statement and the Faculty briefing document have been a critical part of the consultation process leading to the Faculty response, and in their scope of approaches, comprehensiveness, and tone, mirror the distinctive diversity, complexity, and size that characterizes the Faculty of Arts and Science. The departmental responses will also be submitted to the Principal's Office as part of this process. Of note, also, are the individual responses received in the Faculty Office over the course of the consultation period. Along with the departmental responses, this input was also considered seriously in the preparation of the Faculty response. Faculty Office support staff input was also assembled by a "Staff Reporting Team" and certain components of that feedback have been incorporated into the Faculty response. The Staff Reporting Team's report will be submitted with the departmental responses. The "Staff Reporting Team" also solicited similar feedback from the broader support staff complement (approximately 130 individuals) in the Faculty, but this information was not available by April 15.

Issues and concerns raised through the consultation process have included the following: 1) the short period in which to prepare the Faculty response; 2) confusion about the difference between "visioning" and "planning," and the persistent notion, among some, that this exercise is of a strategic planning nature and will lead to immediate operational changes; 3) considerable anxiety about 2; 4) the need for consensus among the membership of the Faculty of Arts and Science as a prerequisite to submit the Faculty response.

These issues and concerns were represented in a motion from the floor at the Faculty Board meeting of March 26. With a two-thirds majority in favour, the motion was put on the agenda. The text of that motion is given here.

Moved and seconded:

- a. That Faculty Board reject the Draft Reply to Principal Woolf's "Where Next";
- b. That Faculty Board reject the current academic planning exercise as a budget-cutting exercise that gives insufficient consideration to the academic mission of the University;
- c. That Faculty Board require the Faculty of Arts & Science to initiate an academic planning process designed to support the academic mission of the University, a process that privileges academic principles and objectives and includes substantive interaction of all stakeholders (students, faculty, and staff) among all areas and disciplines; and
- d. That Faculty of Arts and science report to the Board of Trustees the rationale for an extended academic plan and get financial provision for that process.

The motion passed with 67 in favour and less than half of that number against (the contras were not counted exactly, as it was obvious there were less than half of the 67 voting against the motion). By way of context, given the advance warning to the Faculty Office that the motion would be made from the floor and there would a substantial influx of members of Faculty Board, the Faculty Board meeting was relocated to Chernoff Hall 117, which has a room capacity of 250. The Secretary of Faculty Board reported that 128 are recorded on the sign up sheets, and at the time of the vote on the motion, there was nobody standing at the back of the auditorium and there were a few empty seats. It is estimated that there were 220 people present at the time the vote was taken.

The Dean informed Faculty Board after the vote was taken that he did not interpret the passing of the motion to limit his obligation to deliver a report to the Principal on April 15. Shortly after the Faculty Board meeting ended, the Dean informed the Principal by email of the motion and the fact that it was passed. The Dean also spoke to the Principal by telephone the next day. The Principal confirmed that he expected a report on April 15.

At the April 9 Committee of Departments meeting, there was a final discussion (among Department Heads) of the Faculty response, as well as the process leading to the response. Many of the issues and anxieties described above were reiterated by Department Heads.

In response, the Dean emphasized to Department Heads that the current project is the first stage of a planning process, initiated by the Principal, and is intended to be an ongoing one, and that operational aspects will come only after subsequent stages of careful planning.

April 15, 2010