



Lehigh Valley Association
of Independent Colleges

CHAIR DEVELOPMENT

Professional Development Workshop for
Academic Chairs and Program Directors

August 13, 2019

Afternoon Session

Aligning Shared Governance and Academic Hiring

David L. Parkyn, Ph.D.
Presenter

Workshop Outcomes

At the completion of the program participants will be able to:

- Evaluate department readiness for academic hiring
- Develop job descriptions based on institution and department fit
- Develop interview questions that support best candidate selection
- Understand the role shared governance plays in leading academic departments
- Apply principles of shared governance to academic hiring and search committees

Have you ever wondered . . . ?

If SG is sooo important to the academy, why is it sooo difficult to understand and apply?

Foundational Principle

Collegiality

At its core, the academy is [or, wants to be] a collegial organization, a company of equals, of peers, of colleagues

Proverb

[of unknown origin]

*Let us do those things which are possible
in the spirit of those things which are desirable.*

Shared Governance

(Background and Context)

- ◆ SG has been universally adopted in American higher education since the mid-20th century
- ◆ YET, there is wide disparity in the ways SG is practice

- ◆ The application of SG varies by institutional type
- ◆ THUS, there is no universal set of practices that will serve all institutions well

- ◆ SG is described by individual cols/univs in established documents (e.g., bylaws, faculty handbooks, policies)
- ◆ YET, to be effective SG must be embedded in each institution's unique narrative and shared aspirations to succeed

Factors that Shape the Adoption and Implementation of SG:

- Institutional Type (Carnegie Classifications)
- Institutional Size
- Institutional Affiliations/Ownership
 - State/County Legislatures
 - Ecclesial Contexts – denominations, religious orders, congregations
 - System Structures – state or private
- Accreditation Standards
 - Regional
 - Academic Discipline

Shared Governance

(Foundational Documents)

◆ 1966 – AAUP: “Statement on Government of Colleges and Universities”

- 1978 & 2004 – Financial Exigency
- 1981 – Mergers and Acquisitions
- 1988 – Collective Bargaining
- 1989 & 2002 – College Athletics
- 2013 – Confidentiality and Faculty Representation in Academic Governance
- 2014 – Faculty Communication with Governing Boards: Best Practices

◆ 1996 – AGB: Statement on Institutional Governance

- 2006 – State of the Presidency in American Higher Education
- 2007 – Statement on Board Accountability
- 2010 – Statement on Board Responsibility for Institutional Governance
- 2017 – Statement on Shared Governance

1966 - AAUP

(Key Concepts)

◆ Essential Character

- “This statement is a call to mutual understanding regarding the government of colleges and universities”

◆ Key Concept – “Joint Effort”

- “. . . an inescapable interdependence among governing board, administration, faculty, students, and others”
- “In some instances, an initial explanation or recommendation will be made by the president with consideration by the faculty at a later stage; in other instances, a first and essentially definitive recommendation will be made by the faculty, subject to the endorsement of the president and the governing board. In still others, a substantive contribution can be made when student leaders are responsibly involved in the process.”

1966 – AAUP (Key Concepts)

GOVERNING BOARD

- A special obligation to ensure that the history of the col or univ shall serve as a prelude and inspiration to the future.
- The GB is . . . the final institutional authority
- The bd plays a central role in relating the likely needs of the future to predictable resources, it has the responsibility for husbanding the endowment, it is responsible for obtaining needed capital and operating funds; and in the broadest sense of the term it should pay attention to personnel policy.
- [The GB] entrusts the conduct of the administration to administrative officers.
- The GB should undertake appropriate self-limitation.

PRESIDENT

- Shares responsibility for the definition and attainment of goals, for administrative action, and for operating the communication system that links the components of the academic community.
- As the chief planning officer of the institution, the president has a special obligation to innovate and initiate.
- It is incumbent on the president to ensure the faculty views, including dissenting views, are presented to the bd in those areas and on those issues where responsibilities are shared. Similarly the faculty should be informed of the views of the bd and the administration on like issues.
- The chief person who speaks for the institution.
- The presidential leadership role is supported by delegated authority from the bd and the faculty.

FACULTY

- Has primary responsibility for such fundamental areas as curriculum, subject matter and methods of instruction, research, faculty status, and those aspects of student life which relate to the educational process.
- On these matters [above] the power of review or final decision lodged in the GB or delegated by it to the president should be exercised adversely only in exceptional circumstances.
- The faculty sets the requirements for the degrees offered...determines when the requirements have been met...authorizes the president to grant the degrees.
- The GB and president should on questions of faculty status . . . concur with the faculty judgment except in rare instances and for compelling reasons which should be explained in detail.

More: who does what
Less: how we work together

2010 – AGB (Overview)

ENVIRONMENT

- Growing diversity of students
- Shrinking T and TT faculty proportions
- Persistent difficulties with institutional resources
- Increased competition in the HEd marketplace
- Increased accountability and scrutiny
- Ineffective institutional governance

Many presidents, governing boards and faculty members believe that institutional governance is so cumbersome that timely and effective decision making is imperiled; factionalism, distrust, and miscommunication, and lack of engagement among the parties can impede the decision-making process.

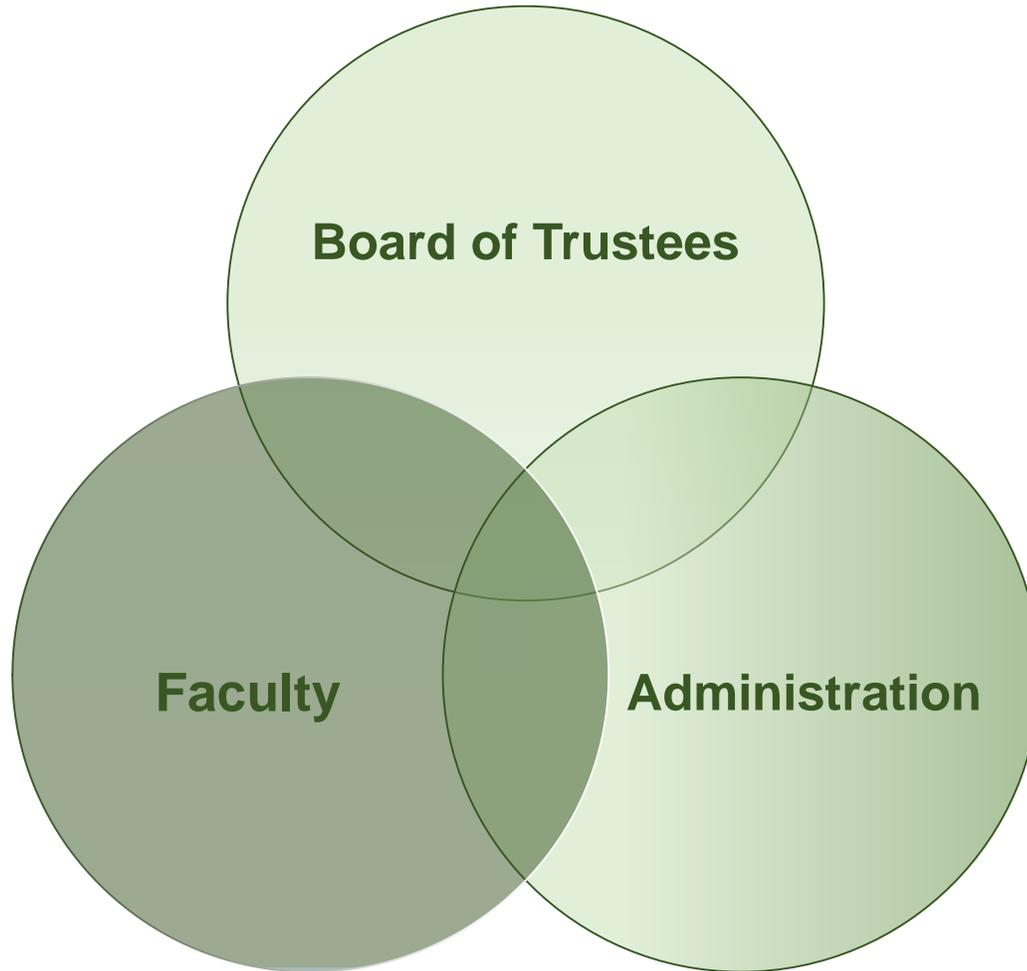
- Focus on jobs and the economy
- Pace of change

EIGHT PRINCIPLES

- Ultimate responsibility for governance rests with the GB
- The bd should respect the culture of decision making in the academy [i.e., col & univ differ from business in many respects]
- The bd should approve a budget and establish guidelines for resource allocation
- . . . ensure open communication
- . . . manifest a commitment to accountability and transparency
- . . . have ultimate responsibility to appoint and assess the president
- System GBs should clarify authority and responsibilities of the system head . . .
- Bds of both public and independent col & univ should play an important role in relating their institution to the communities they serve

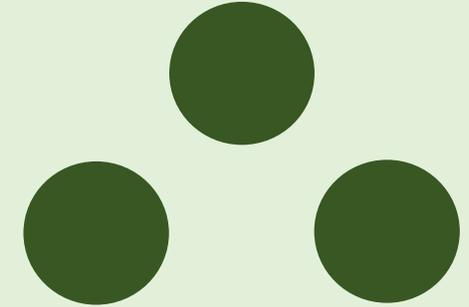
FOCUS: Responsibilities of the governing board

The Essential Framework: Shared Governance

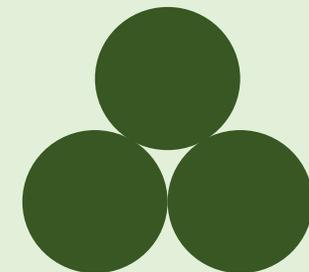


Alternative Models

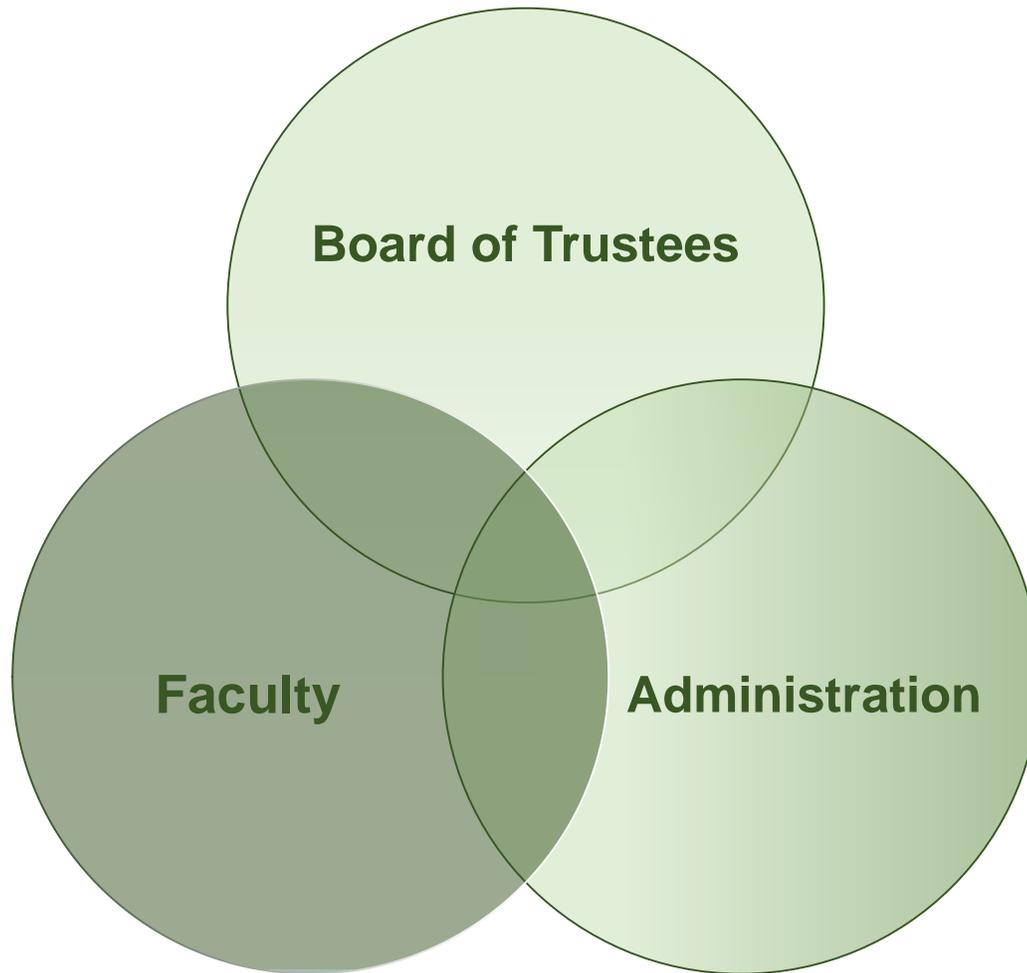
"Go-It-Alone" Governance



"Fist-Bump" Governance



The Essential Framework: Shared Governance



Observations

Which governance constituent sits at the top of the framework?

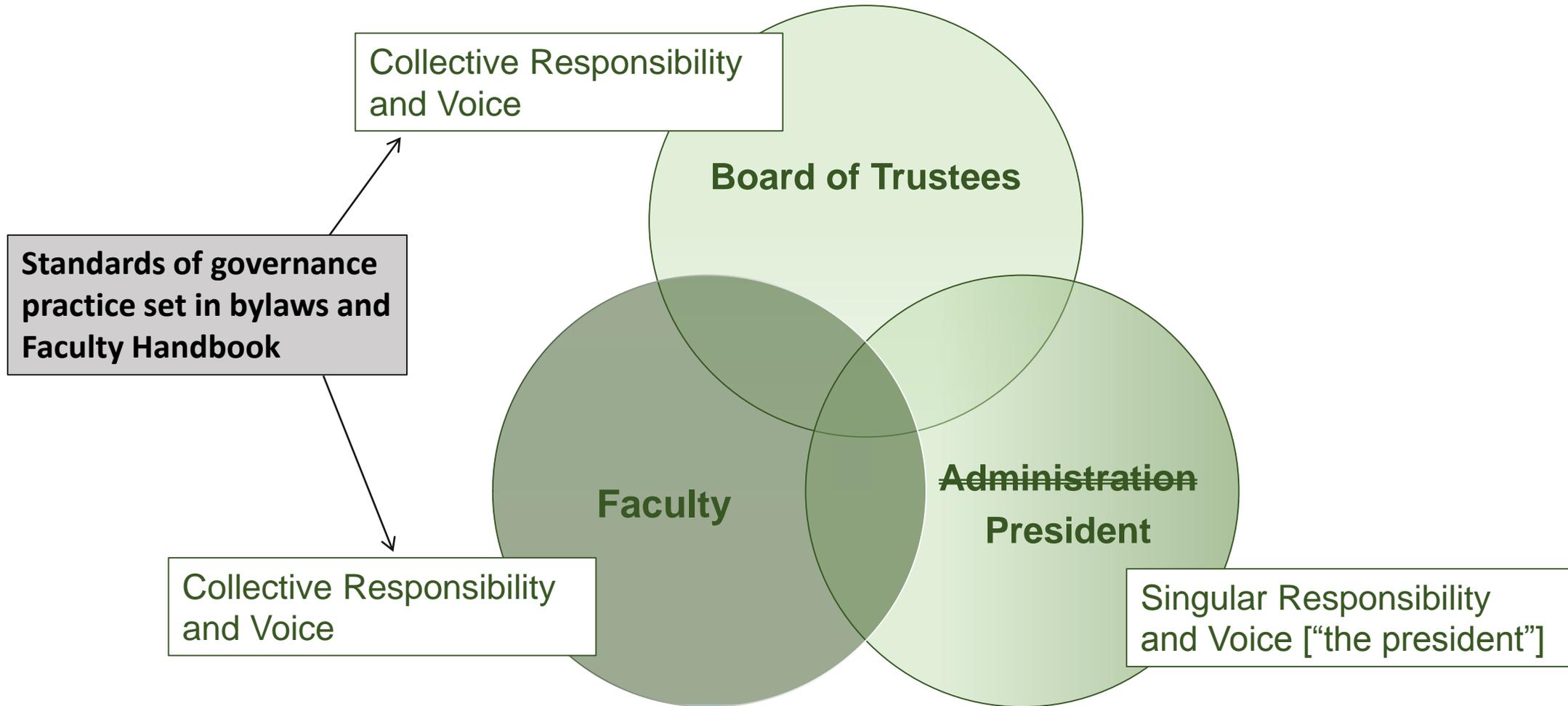
- Whoever is speaking

Is "staff" absent, without a voice in institutional governance?

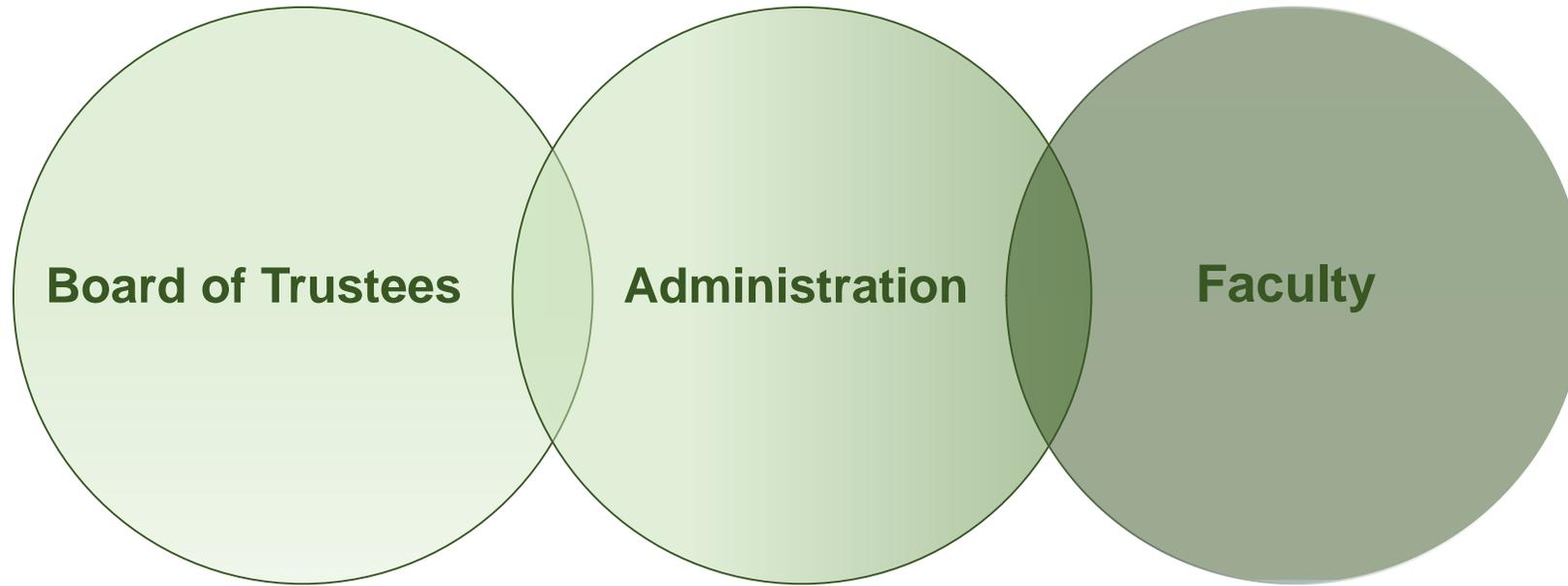
Are "students" absent, without a voice in institutional governance?

- In today's academy, should "staff" and/or "students" be included in the "share" of governance

The Essential Framework: Shared Governance



Shared Governance as Commonly Experienced



- **The president “shares” responsibility with the board, and the president “shares” responsibility with the faculty.**
- **The president serves as the primary point of contact, and communication, between the board and the faculty.**
- **The board and the faculty know each other only on a secondary basis.**

Current States of Shared Governance

◆ “I have found that although the principle is endorsed by most in higher education, only rarely is it successfully and consistently implemented.”

◆ **Shared Governance is**

- **Equal rights to governance?**
- **Consultation?**
- **Rules for engagement?**
- **A system for aligning institutional priorities** → Ideal Concept and Practice

} Deficient Concepts and Practices

Can Establish . . . Must Lead To

“Shared governance can establish boundaries and rules for engagement (e.g., academic decisions, budget decisions, selection of the president, etc.) . . .”

. . . B U T . . .

“. . . To be effective shared governance must lead to the give and take among faculty, the president, and the board that builds high quality, timely decisions.”

Rules for Engagement . . . Give and Take

Responsibility as Serial and Discrete

e.g.:

Approval of New Academic Program

Department members . . .

→department chair . . .

→curriculum committee

→faculty senate . . .

→dean of unit . . .

→provost . . .

→president . . .

→academic committee of board . . .

→full board

Developing the Operating Budget

Seek input on needs from budget managers . . .

→finance team coordinates input . . .

→senior leadership draws budget recommendation . . .

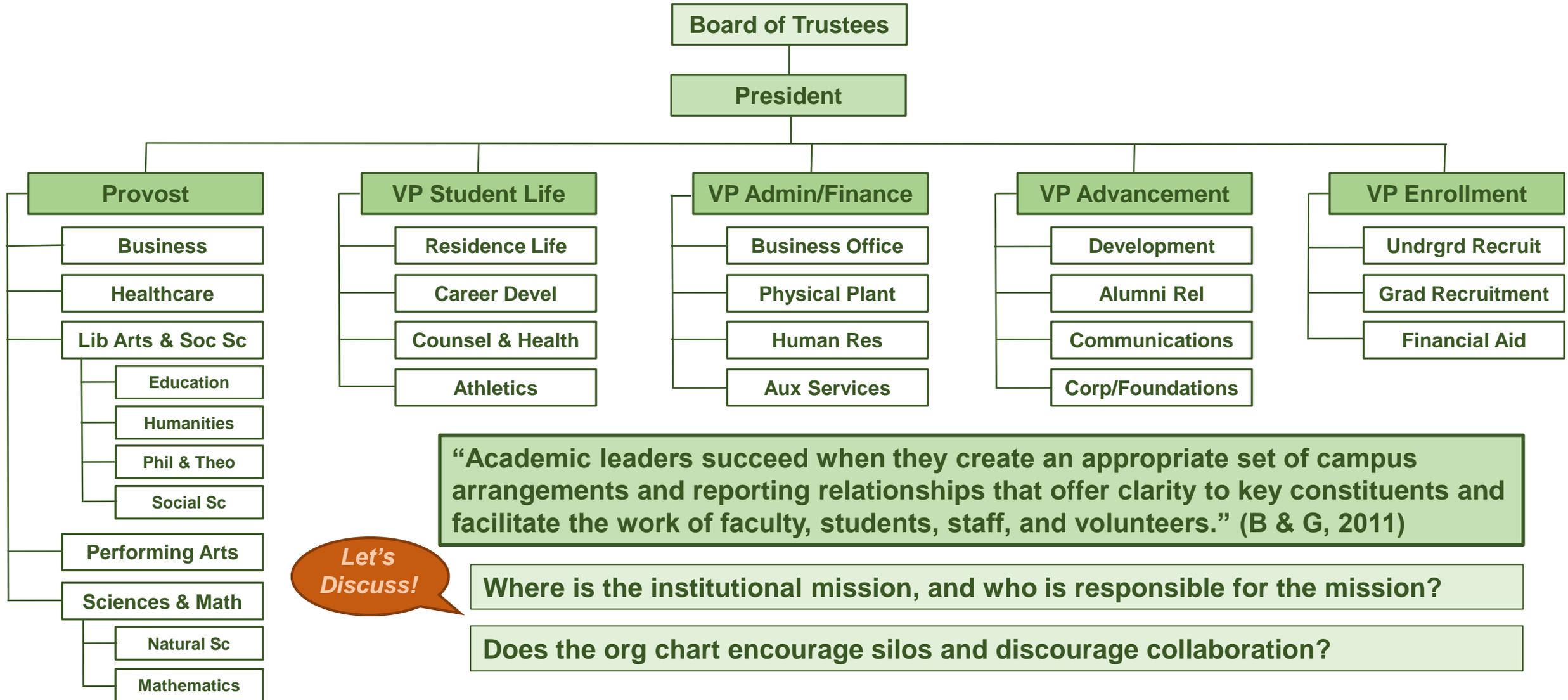
→president presents budget to Bd Finance Committee . . .

→full board adopts budget

vs.

Responsibility as Simultaneous and Collaborative

University as Organization



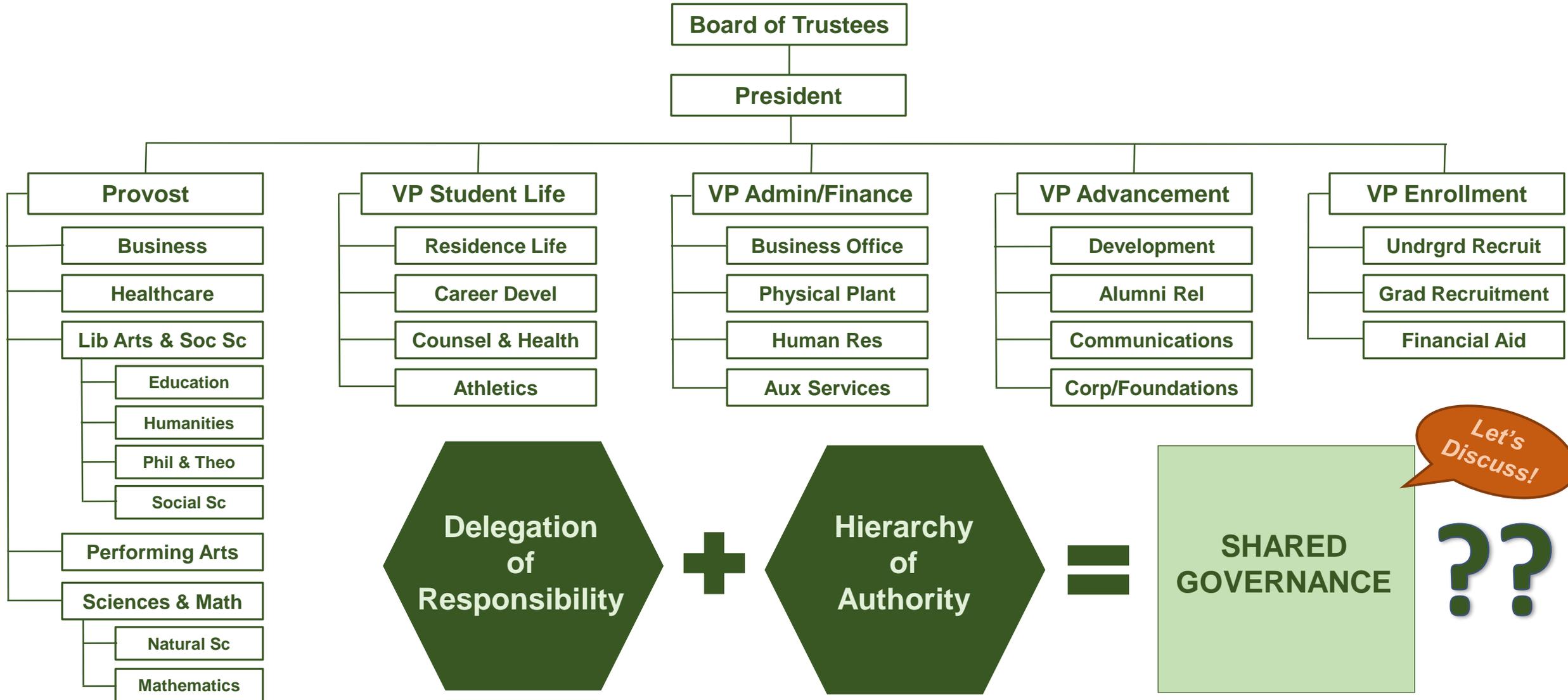
“Academic leaders succeed when they create an appropriate set of campus arrangements and reporting relationships that offer clarity to key constituents and facilitate the work of faculty, students, staff, and volunteers.” (B & G, 2011)

Let's Discuss!

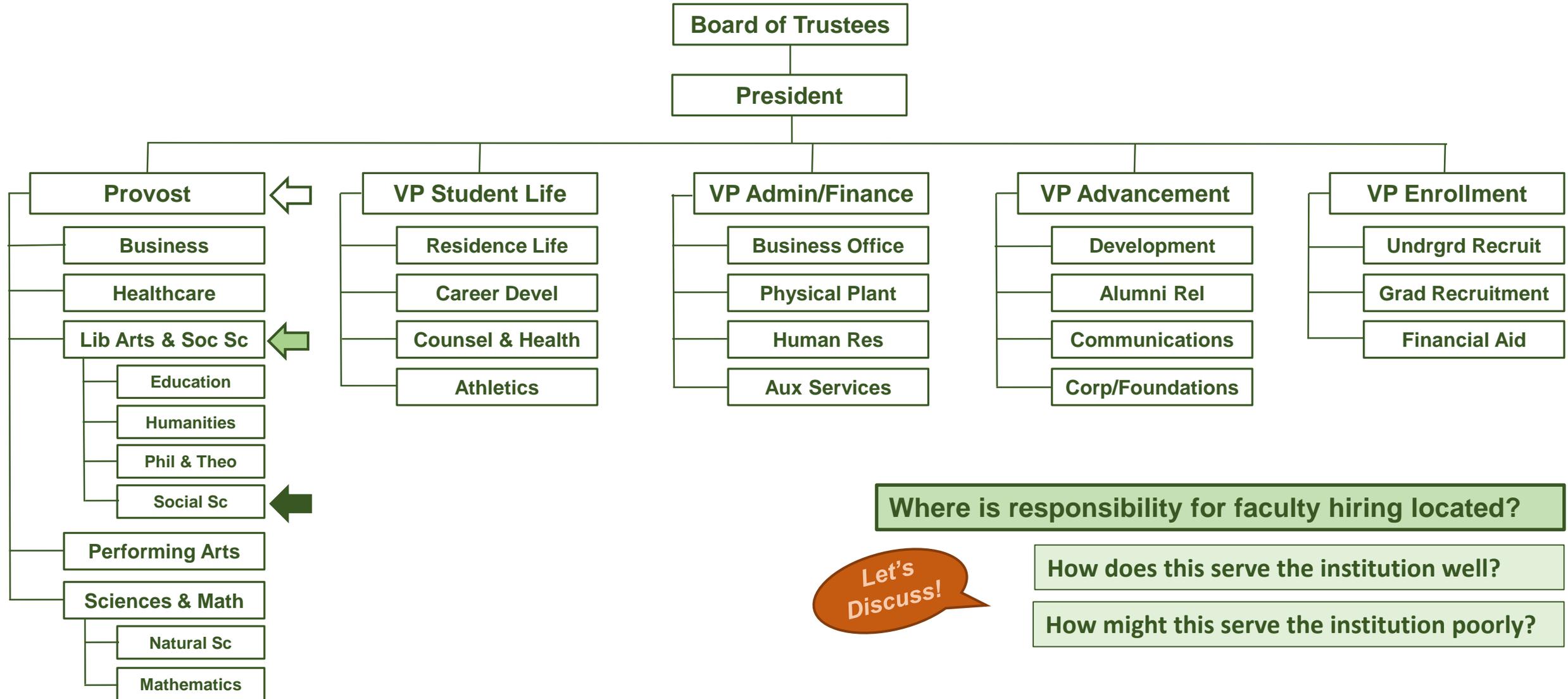
Where is the institutional mission, and who is responsible for the mission?

Does the org chart encourage silos and discourage collaboration?

Familiar Org Chart



Familiar Org Chart



Another Model?

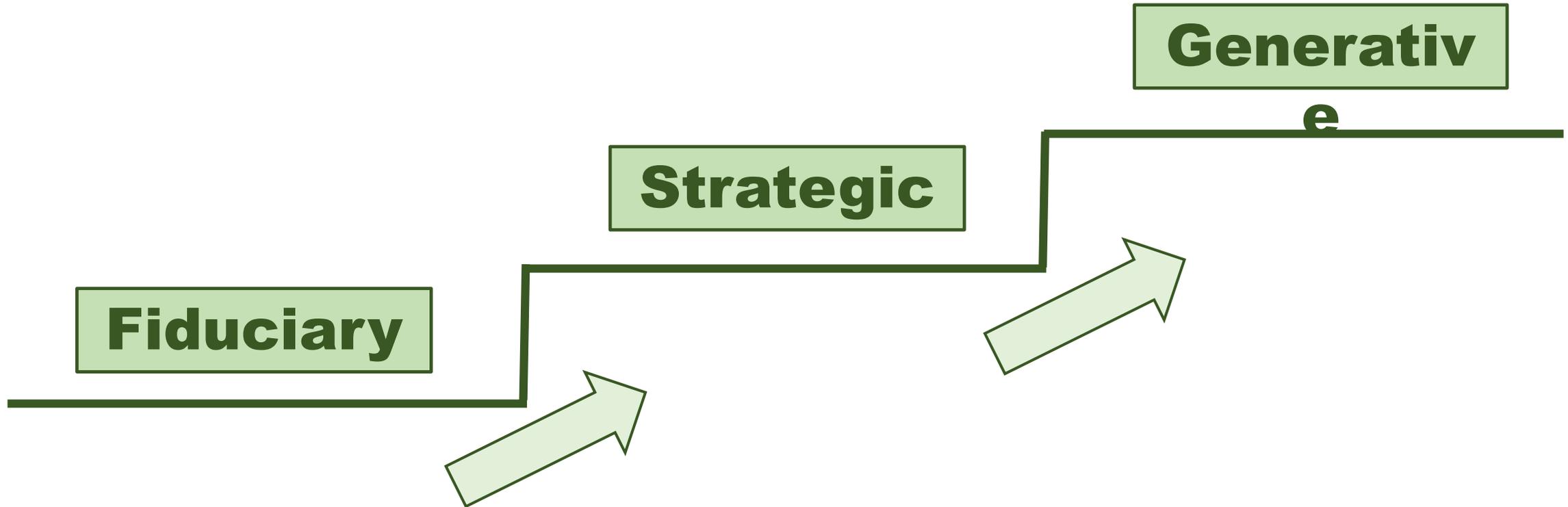
Can we imagine another model that could better reflect the commitments of shared governance?

Types of Governance Responsibility

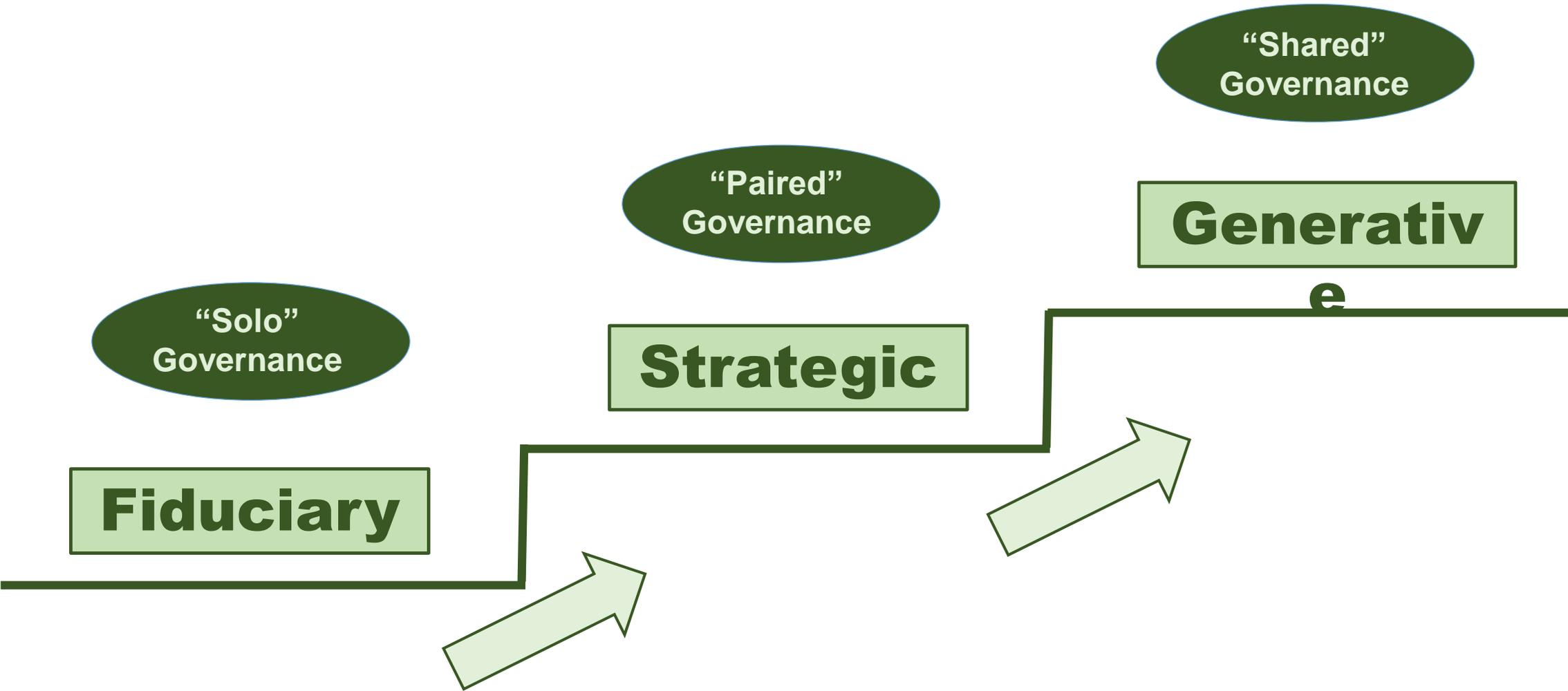
Governance Responsibilities

- ***Fiduciary***
 - General oversight . . . caring for what is
- ***Strategic***
 - Reaching beyond . . . guiding toward what should be
- ***Generative***
 - Imagining . . . finding entirely new ways

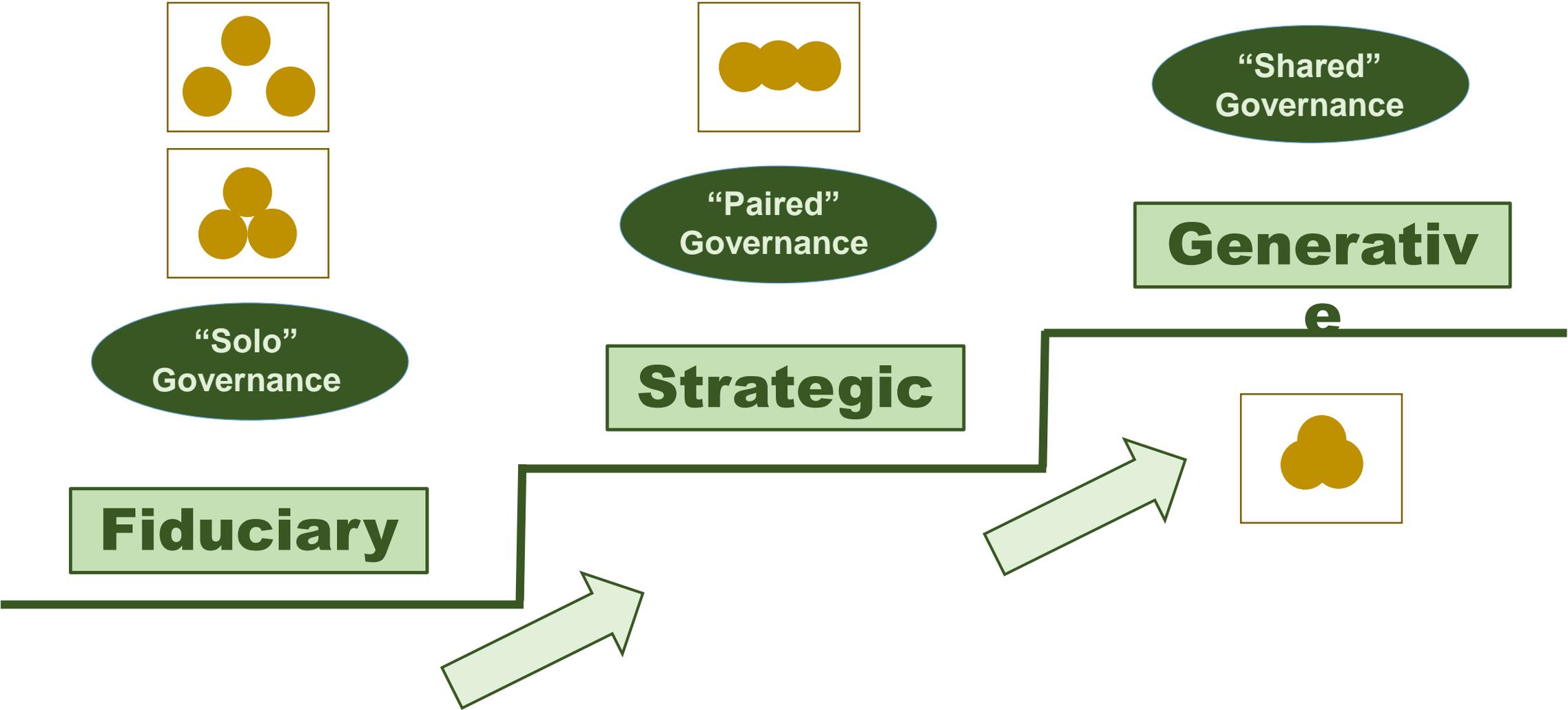
Levels of Governance Responsibility



Levels of Governance Responsibility



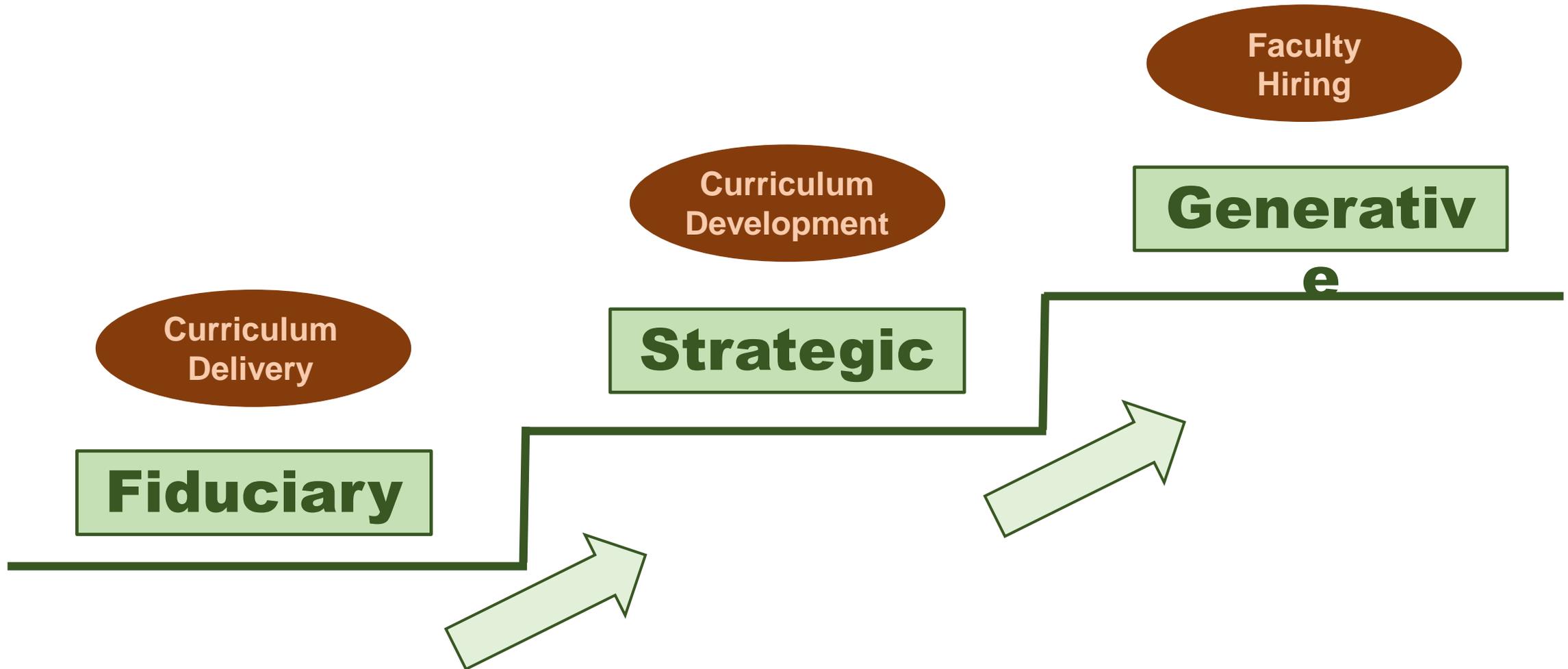
Levels of Governance Responsibility



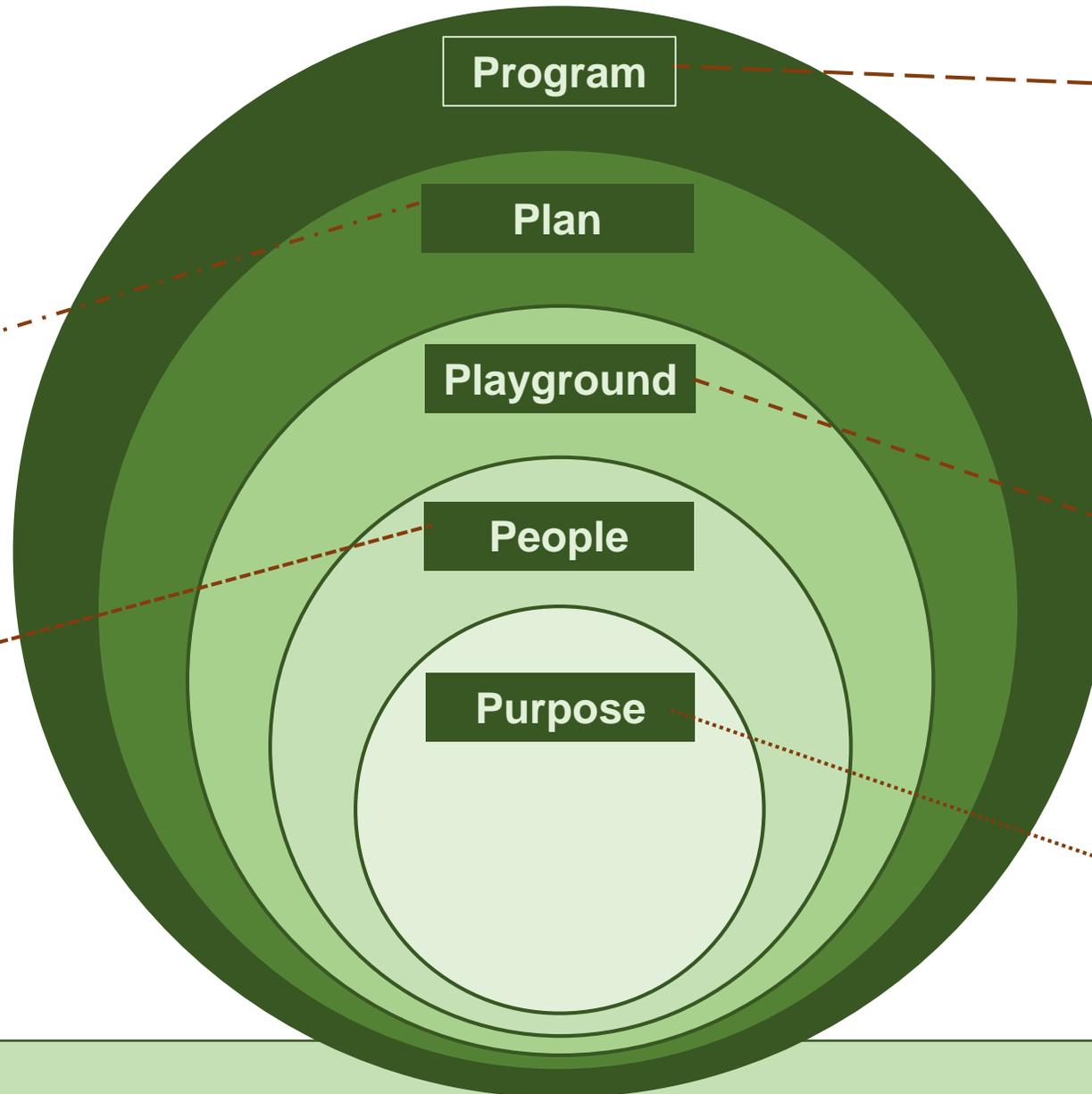
Another Model?

Can we imagine another model that could better reflect the commitments of shared governance AND foster a hiring process that facilitates generative governance in faculty appointments?

Levels of Academic Program Responsibility



Institution as Concentric Circles



What do we do?

- Course-based Learning
- Co-curricular Learning
- Research & Scholarship
- Community Service

Where are we headed?

- Strategic Direction
- Objectives
- Goals
- Initiatives

Where are we?

- Differentiating Mark(s)
- Our Market "Space"

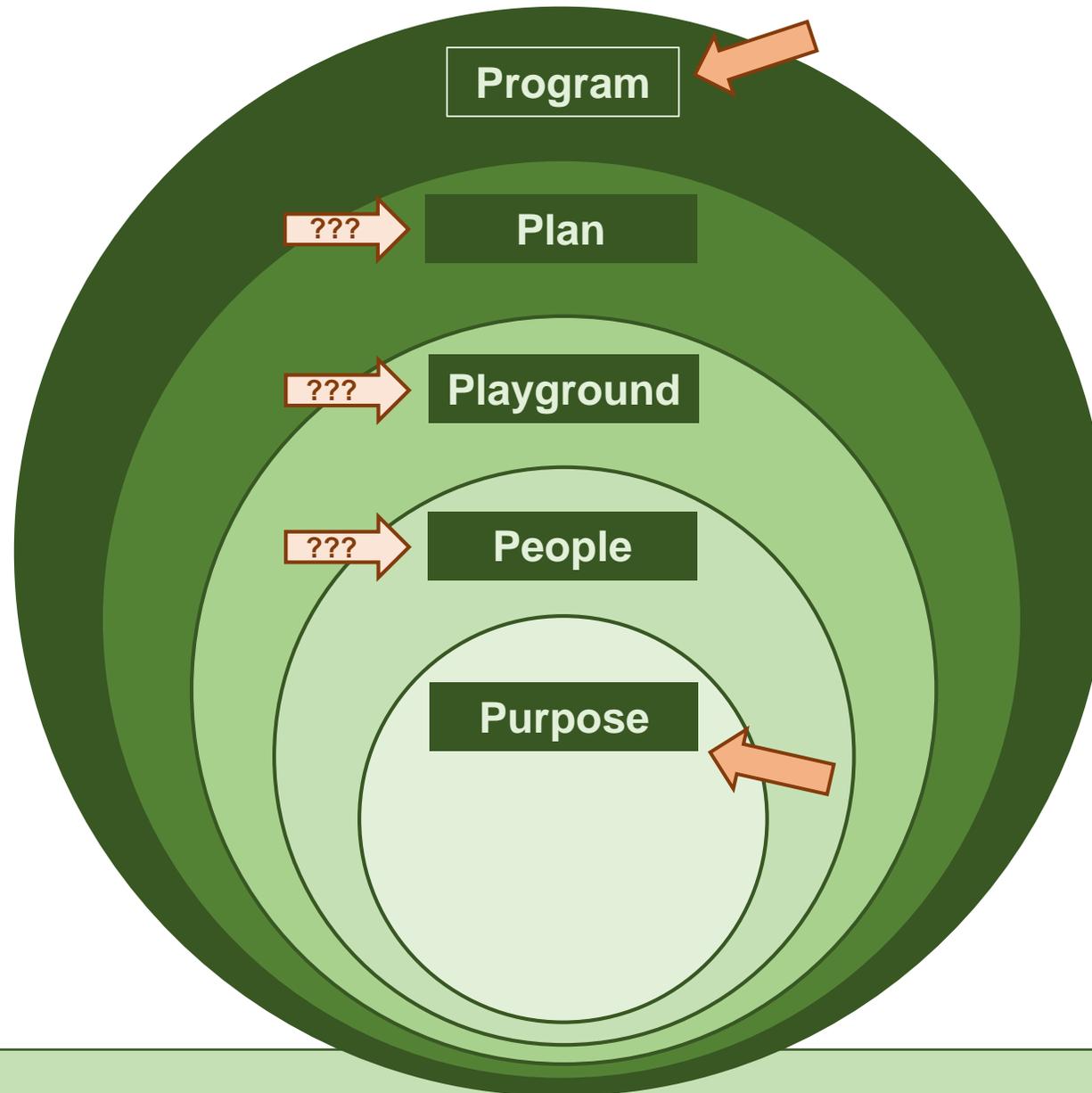
Who are we?

- Students
- Faculty & Staff
- Board
- Alumni
- Friends
- Parents
- Community

Why are we?

- Mission & Vision
- Educational Ideals

Where Does Faculty Hiring Occur?



Two Examples: NPU, 2006-2017

Student and Faculty Diversity

1996

- Bd – “we will increase diversity in our student body”

2006

- No increase in student diversity
- New president

Undergraduate Enrollment

- 1996 – 22% SOC
- 2006 – 20% SOC
- 2016 – 67% SOC

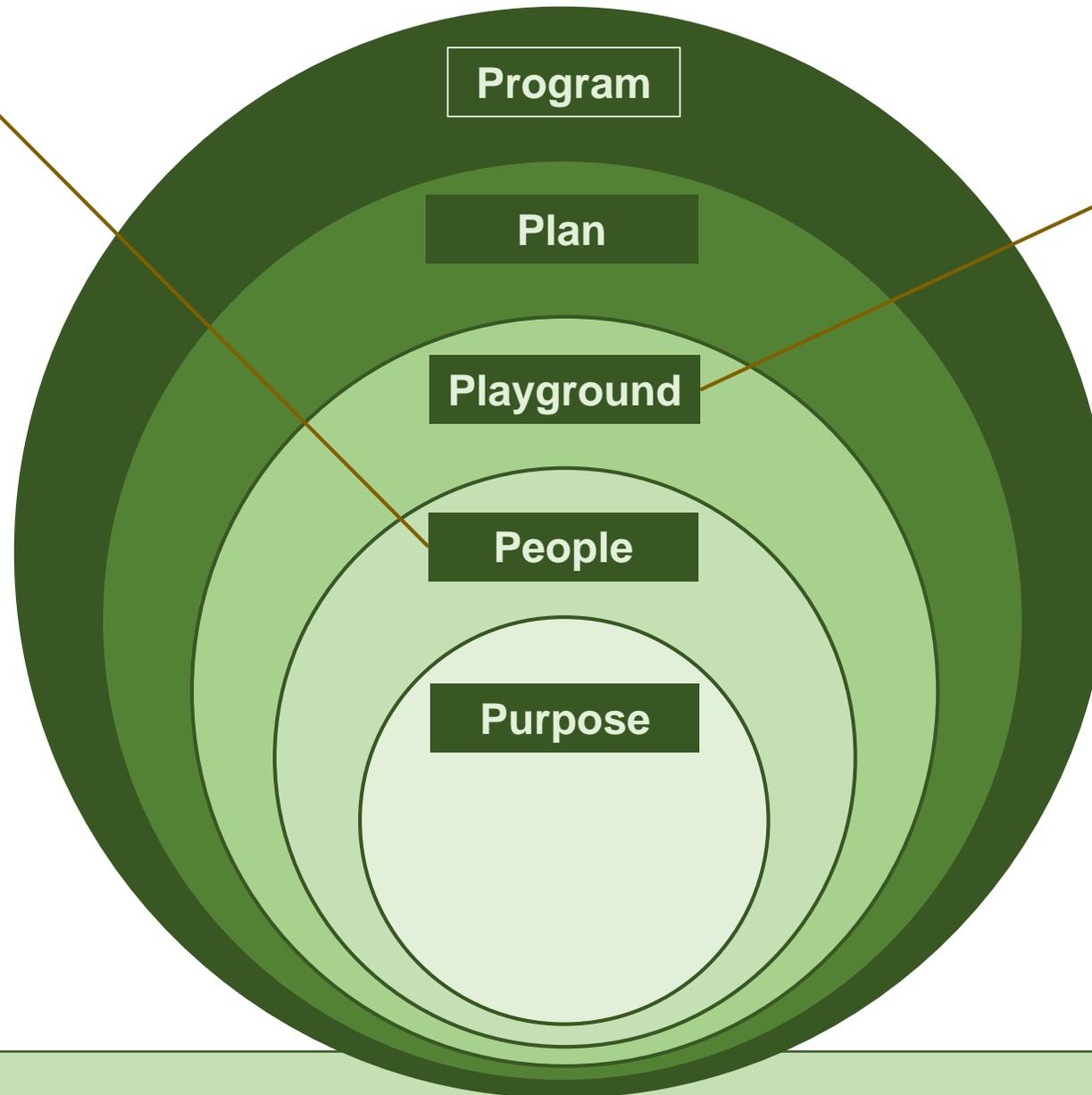
Key Question:

- Is diversity also important on the faculty?

New Practice

- Each group of 3 faculty candidates will include:
 - Both men and women
 - At least one person of color

[“Practice”]: normative, but not required; excused by the provost]



Mark of Differentiation

A Small Urban University

- The “space” we will occupy in the higher education market
- *Chicago is our classroom, and all Chicagoans are our teachers*
- *Chicago is “text” and “context” for learning*

New Policy

- Faculty application materials will include a statement:
 - “How my teaching [and scholarship] will reflect and advance NPU’s mark of differentiation as a small urban university in Chicago”

[“Policy”]: required of all faculty candidates]

Two Examples: NPU, 2006-2017



Student and Faculty Diversity

1996

- Bd – “we will increase diversity in our student body”

2006

- No increase in student diversity
- New president

Undergraduate Enrollment

- 1996 – 22% SOC
- 2006 – 20% SOC
- 2016 – 67% SOC

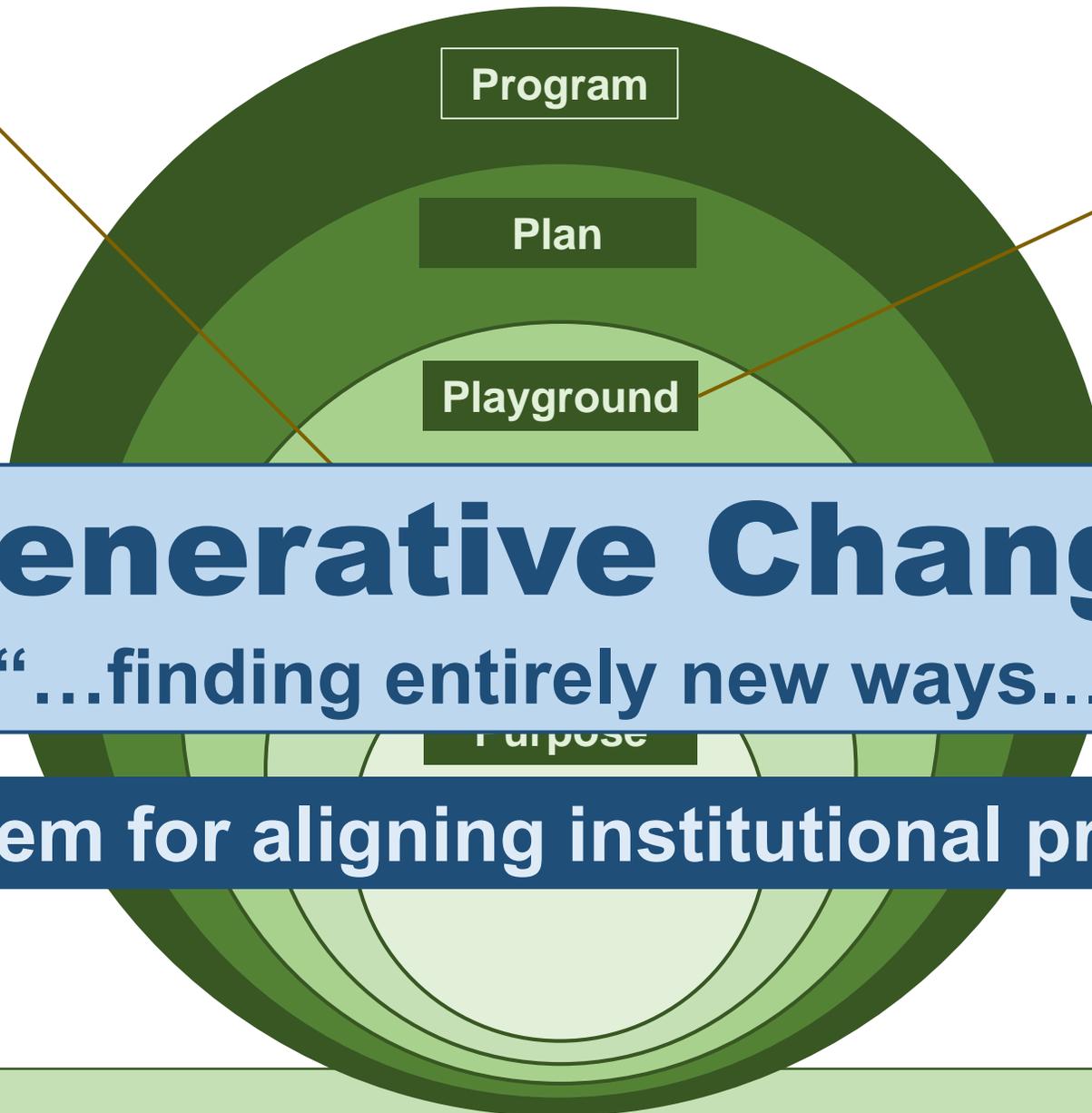
Key Question

- Is diversity also important for faculty?

New Practice

- Each group of 3 faculty candidates
- B
- A
- color

["Practice": normative, but not required; excused by the provost]



Mark of Differentiation

A Small Urban University

- The “space” we will occupy in the higher education market
- *Chicago is our classroom, and all Chicagoans are our teachers*
- *Chicago is “text” and “context” for learning*

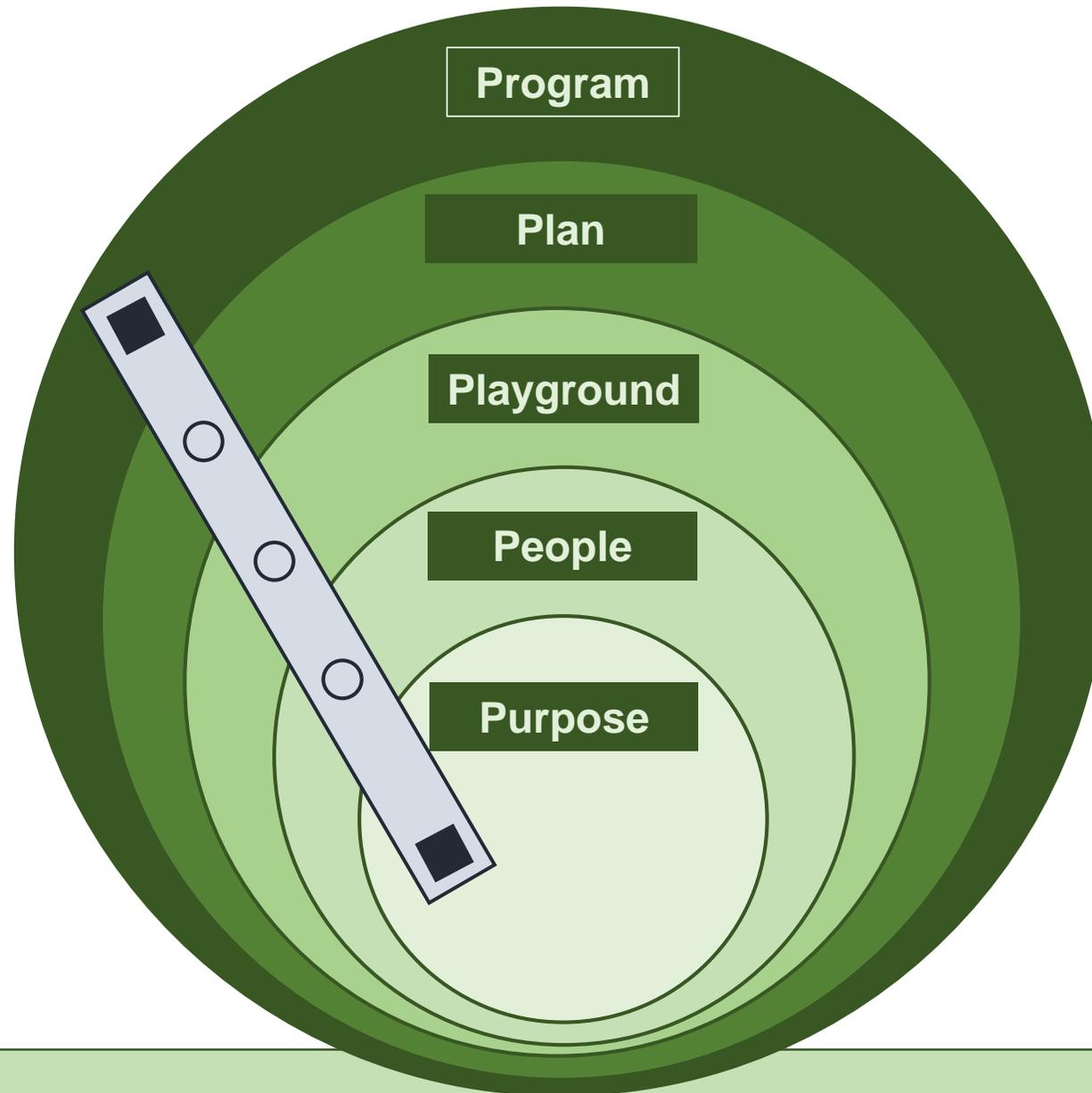
...y
...y application materials will
...e a statement:
“How my teaching [and scholarship] will reflect and advance NPU’s mark of differentiation as a small urban university in Chicago”

... faculty

Generative Change
“...finding entirely new ways...”

“...a system for aligning institutional priorities...”

Where Does Faculty Hiring Occur?



Faculty Hiring

- ✓ Rooted in
 - Program
 - Purpose
- ✓ Aligned with
 - People
 - Playground
 - Plan

Let's
Discuss!

Shaping the Search Process

- What are the generative topics/questions/commitments/aspirations at your institution?
 - People – Who are we?
 - Playground – Where are we?
 - Plan – Where are we headed?

- How can you integrate these generative topics with the faculty hiring process?
 - A prompt in the position description?
 - A requirement in application materials (a cover letter, resume, and ??)

- How will a candidate's engagement with the generative topics be measured and assessed in the hiring process?

Requirements for Achieving Shared/Generative Governance

Trust

Shared governance requires shared trust by all participants

Respect

Shared governance requires mutual respect, an appreciation for what others bring to the academy, acknowledging the value of each participant

Understanding

As humans we perceived our environment through five senses. In the academy, no individual carries all five; we sense selectively.

- Misunderstanding can lead to disagreement
- Enhanced understanding is possible if my circle is willing to learn from the other circles

Preparation

Faculty members and trustees [and sometimes administrators] are often unprepared in terms of experience and expertise to participate effectively in decisions on major strategic issues

- The institution must help members of each circle to be prepared for the requirements of shared governance

Participation

- SG is hindered by an erosion in faculty participation in governance and a corresponding declining value in this ideal
- Board members who are more familiar with a business context than the academy often find the ideal of SG cumbersome and inefficient
- Administrators often find it easier to go it alone than commit to the collaboration SG requires

Collaboration

- Silos can facilitate a simple and easy work style
- We want to go our own way with our set of assigned responsibilities . . . but this breeds distance when what we need is overlap

Communication

- Required from all parties
- It is expected from the president by the board and the faculty
- It is infrequently offered by the board or faculty

Suggested Reading on Shared Governance

Books

- **Bahls, S. (2014). Shared governance in times of change: A practical guide for universities and colleges. Association of Governing Boards**
- **Bowen, W.G. and Tobin, E.M. (2015). Locus of authority: The evolution of faculty roles in the governance of higher education. Princeton U**
- **Pierce, S. R. (2014). Governance reconsidered: How boards, presidents, administrators, and faculty can help their colleges thrive. Jossey-Bass**

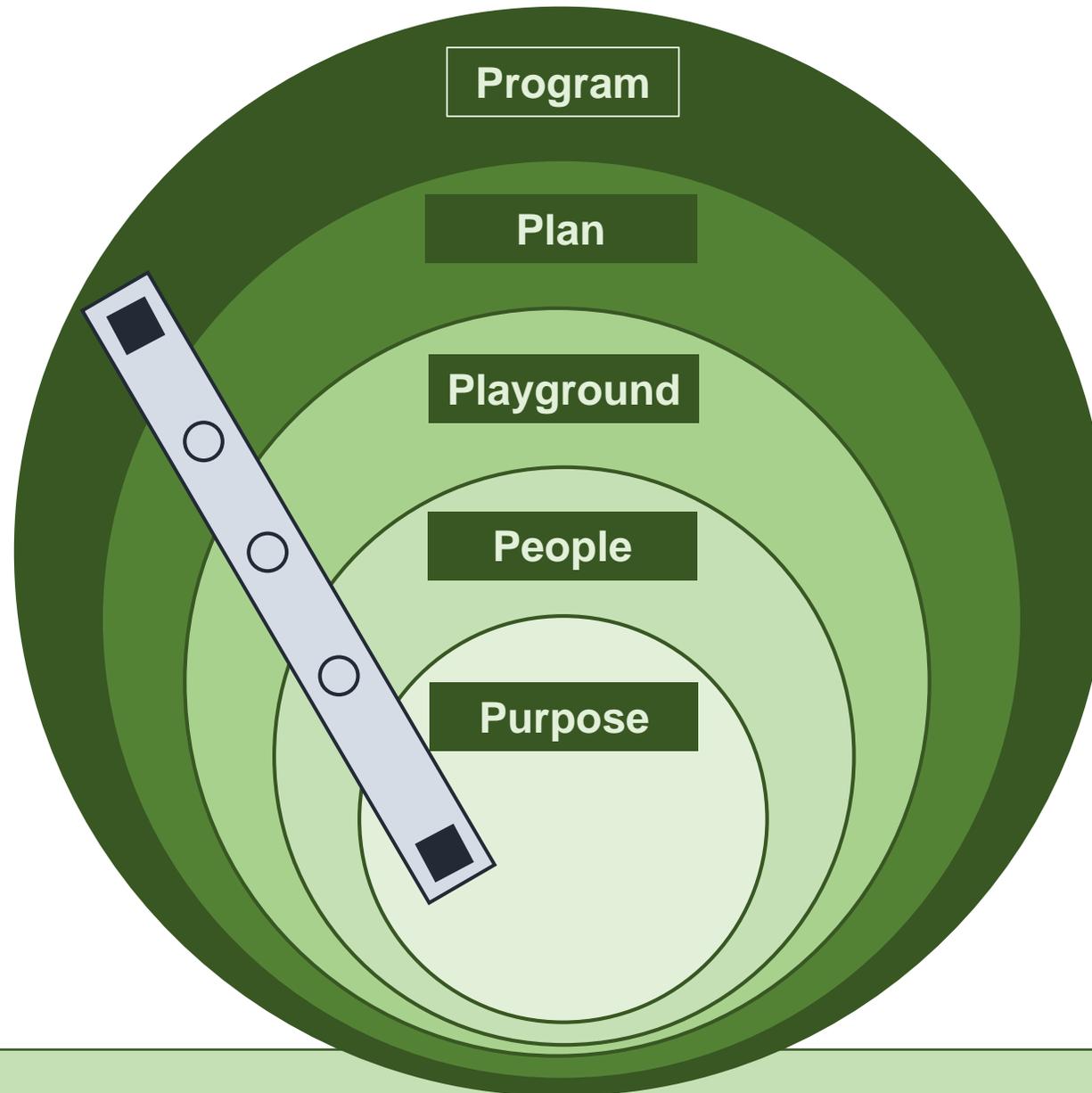
AAUP

- **1966 – Statement on Government of Colleges and Universities**
- **1994 – On the Relationship of Faculty Governance to Academic Freedom**
- **2013 – Confidentiality and Faculty Representation in Academic Governance**
- **2014 – Faculty Communication with Governing Boards: Best Practices**

AGB

- **2010 – Statement on Board Responsibility for Institutional Governance**
- **2016 – Shared Governance: Is OK Good Enough?**
- **2017 – Shared Governance: Changing with the Times**
- **2017 – Statement on Shared Governance**

Where Does Faculty Hiring Occur?



Faculty Hiring

- ✓ Rooted in
 - Program
 - Purpose
- ✓ Aligned with
 - People
 - Playground
 - Plan



