University of the Pacific
Ad Hoc Committee to Review Shared Governance
Report to the Board of Regents
December 16, 2016

<u>INTRODUCTION</u>

Shared governance at the University of the Pacific is an important component of our strength as an institution. It empowers our faculty, administration, and Board to benefit from the best thinking of all stakeholders in a collective, participatory process. Effective shared governance at Pacific enables us to address challenges, to foster well-informed and timely decision-making, and to implement the actions necessary for ensuring a strong and sustainable future.

In October 2014, Board of Regents Chair, Kathy Lagorio Janssen, directed the formation of an ad hoc committee to Review Shared Governance at Pacific, which was to be comprised of Regents, faculty, and administrators.

The members of the Committee as initially constituted were:

- Sigmund H. Abelson, DDS, MACA, School of Dentistry, past Regent—Chair
- Dianne Philibosian, Regent, Alumna, College of the Pacific
- Clark Gustafson, Regent, Alumnus, School of Pharmacy
- Kathi McShane, Regent
- Cathy Peterson, Professor, School of Pharmacy
- Rahim Khoie, Professor, School of Engineering and Computer Science
- Courtney Lehman, Professor, College of the Pacific
- Maria Pallavicini, Provost
- Giulio Ongaro, Dean, Conservatory of Music
- Lynn Beck, Dean, Benerd School of Education

Shortly after the constitution of the Committee in October of 2014, members decided that it was important to include the voice of non-tenure track faculty, both full and part time. They include:

- Mary-Beth Moylan, Professor of Lawyering Skills, McGeorge School of Law
- Dylan Zorea, Visiting Lecturer and Professor, College of the Pacific

Due to various retirements and other changes, Cathy Peterson, Giulio Ongaro, and Lynn Beck no longer serve on the Committee, so the following individuals have been added:

- Berit Gundersen, Vice-Provost, Faculty Affairs
- Lewis Gale, Dean, Eberhardt School of Business
- Sharmila King, Associate Professor, COP-Economics

Mary Lou Lackey, Vice President and Secretary to the Board, staffed the Committee.

The charge to the Committee by Board Chair Janssen was the following:

1. Develop a draft statement on the purpose, principles, and responsibilities of shared governance that, if different from our current statement, can be considered for adoption by the university.
2. Create a shared governance decision matrix that identifies the role of various constituent groups in key academic and business-oriented decisions.
3. Assess whether the current mechanisms of shared governance (i.e., those found in the university Bylaws, Faculty Handbook, or other policies) are aligned with the purpose and principles of shared governance while effectively contributing to the decision making process at Pacific.
4. Recommend if changes are warranted to our current policies and/or procedures. Consider recommending actions that could advance shared governance at the University of the Pacific.

Chair Janssen recommended consultation with the Academic Council, Council of Deans, and Board of Regents as the Committee progressed with this charge.

The Committee met 19 times, in addition to many other meetings that were held between constituent members of the Committee and their respective groups to obtain input on their perception of shared governance at Pacific.

One of the first tasks and accomplishments of the Committee was the development of a Statement of Shared Values that was agreed upon and signed by the Chair of the Board of Regents, the Chair of the Academic Council, and the President. This important document was a significant statement of cooperation and an affirmation of the importance and value of shared governance at Pacific.

Statement of Mutual Values
University of the Pacific

The joint Regent, Administration, and Faculty Ad Hoc Committee to Review Shared Governance has been charged by Kathy Janssen, Board of Regents Chair, to identify actions that will improve the effectiveness of Pacific's shared governance. Specifically, the Committee will review current policies and practices and make recommendations that clarify the roles and responsibilities of all parties in the decision making process, as well as ensure that due process is observed and routinely followed. The Committee recognizes that shared governance is a system of open communication aimed at aligning priorities, creating a culture of mutual responsibility and accountability for the welfare of the institution, and establishing a system of checks and balances to confirm that the institution stays mission centered.

As a committee and as individuals, we acknowledge the importance of ensuring that the wisdom gained from past successes, challenges, and failures is considered and allowed to shape future endeavors. We also recognize that in order to move forward together, we must make a commitment to shared values that contribute to developing,

maintaining, and strengthening mutual trust.

The University of the Pacific Regents, administrators, and faculty make a pledge to support the following values as we move forward with an evolving culture of shared governance:

- Transparency in our agendas, actions, and outcomes

- Open and inclusive communication

- Respect for one another's commitment, perspective, and purpose

The work of the Committee was conducted in a collaborative and mutually respectful environment. This was a learning experience for all members, as the Committee itself has evolved over the two plus years it has worked diligently to complete its charge.

THE APPROACH

The Committee began its work with a review of best practices in shared governance across the higher education landscape [see list of references], as well as thorough consideration of the University's own guiding documents, including relevant Regent committees, the University Bylaws, and the Faculty Handbook.

The faculty members of the Committee put great energy into ensuring that the entire faculty had the opportunity to provide input on the work that was to be done. In January and February of 2015, a series of World Cafés were held on all three campuses in order to initiate dialogues about the faculty's understanding of and perspective on their role in shared governance. This was a significant undertaking for the two facilitators, Chris Goff (Assistant Provost for Diversity; Professor of Math) and Courtney Lehmann (Chair of Academic Council; Professor of English), and it proved to be a worthwhile enterprise. The feedback that was recorded from the various World Café sessions was extremely valuable in helping to identify faculty concerns and in guiding the development of the Decision-Making Matrix.

At their January 2015 meeting, the Board of Regents held a plenary session devoted to shared governance and had a rich discussion about the roles of various stakeholders in decision-making across the University. The administration, Cabinet, and the Council of Deans also convened meetings to discuss shared governance and the evolution of the Matrix at key junctures throughout the Committee's deliberations. Careful consideration of this broad-based feedback enabled the Committee to develop an informed perspective on governance-related concerns among all University stakeholders. The most common themes included the desire for earlier and more effective communication across constituencies as well as greater transparency of process with respect to University decision-making.

Informed by this extensive consultation, the committee reviewed existing University shared governance documents and ultimately reached a consensus that problems that faculty and other stakeholders have with shared governance and decision-making at Pacific are not with the result

of the content of the statements, but rather the problem is a *lack of clarity* as to how decisions are made at Pacific.

Thus the committee, after careful review, did not conclude that a new statement on shared governance needed to be developed, nor is it recommending any changes to existing shared governance policy statements.

DEVELOPMENT OF THE SHARED GOVERNANCE DECISION-MAKING MATRIX

The Preamble offers an excellent example of the kind of collaborative decision-making that the Matrix is designed to capture, having evolved from two years of thoughtful discussion, debate, and nuancing based on substantial input from faculty, administration, and Regents. The Preamble serves to affirm the value of shared governance, to define key roles in University decision-making, to create a mechanism for conflict resolution, and to assert the importance of meaningful communication and transparency of process.

PREAMBLE TO SHARED GOVERNANCE DECISION MATRIX

The University of the Pacific ('University') recognizes that shared governance is a process of aligning priorities, creating a culture of mutual responsibility, and establishing a system of check and balances to ensure that the University stays mission centered. As an institution, we are committed to transparency and open communication, and we consider the wisdom gained from past successes, challenges, and failures to be essential for shaping future endeavors. The purpose of the Shared Governance Decision-Making Matrix ('Matrix') is to provide direction and clarity for the University community in determining who has the authority to make and approve decisions and who is to be consulted and offer recommendations. The product of a joint effort by Regents, administration, and faculty, the Matrix is intended to serve as a guide for optimal decision-making that is consistent with the University Bylaws and aligned with the Faculty Handbook.

According to University Bylaws, ultimate authority for the financial health and welfare of the University resides with the Board of Regents ('Board') through its general, academic, and financial policy making functions. When appropriate, the Board may delegate certain decisions to other key stakeholders, including University officers, administration, and faculty.

Shared governance is often conducted through administrative, faculty, and joint committees, whose members are tasked with representing their constituents and facilitating dialogue between governance bodies. Though not all constituents will be engaged in every decision represented in the Matrix, the University recognizes that

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diversity of opinion is essential to a culture of inclusion and accountability.

Roles in Shared Governance Decision Making

Approve: The Approve role is reserved for the Board of Regents. As the governing body of the University, they are responsible for authorizing key decisions made by the President, as well as for maintaining the overall welfare of the institution through their general, academic, and financial policy making functions.

Decide: The Decide role serves as the single point of accountability in the decision making process. This individual or group brings the decision to closure by resolving any impasses and committing the organization to implementing the decision. In some cases, the decision is not final until it is approved by the Board.

Recommend: The Recommend role is for those who gather relevant input, provide expertise, analyze data, and propose a formal course of action—sometimes including alternative courses, complete with pros and cons—to ensure that the decision-maker has choices that are as clear, simple, and timely as possible.

Input: The Input role is strictly advisory and is responsible for providing relevant information so that the Recommender and Decider can evaluate the facts and make the best decision.

Conflict Resolution: When a decision of major consequence results in disagreement, a protocol must be in place to ensure that all parties are heard. If, for example, the Decider [D] disagrees with the recommendation submitted by the Recommending party [R], then every effort should be made to resolve the disagreement through dialogue. Failing that, the [D] party will offer a written explanation of their decision, while the [R] party may, at their discretion, issue a dissenting position. This mechanism is in place as a means of acknowledging both the decision and minority perspectives as a matter of record, enabling the University to reflect on its decision making over time. Pacific is committed to a sustainable system of shared governance that supports the integrity of collaborative decision making with conviction, honest communication, and mutual respect.

For the last two years, the Committee has been refining the Matrix categories to represent key academic, business, and student-related decisions that reflect shared governance and illustrate its workings. Determining which decisions should rise to the level of inclusion in the Matrix, as well as how to approach assigning authority to the various parties, proved challenging. In fact, the Committee continued to revise the categories in all three areas of the Matrix through ITS November 2016 meeting. The model of governance that the Matrix embodies is the product of a democratic process that highlights the Committee's collective wisdom and best efforts.

The process of gathering faculty input began with the establishment of a small, cross-unit subcommittee comprised of faculty with expertise in the Faculty Handbook. This group

conducted a detailed cross-referencing of the rights and responsibilities ascribed to the faculty in the Handbook and those outlined in the Matrix, locating several inconsistencies between the two documents and identifying places where the Matrix appeared to encroach upon faculty authority. When this review was conducted in spring 2016, there were eight areas in which the Matrix diverged from the Handbook. Between late August and early October 2016, the faculty subcommittee met with their constituents on all three campuses to engage in further conversation and solicit additional input. The academic Deans also reviewed the documents, discussed the roles, and made recommendations based on alignment with current policy and practice. It was not until fall 2016, when the Matrix roles were changed to the RAPID model [see above], that the Committee was able to work through and eliminate discrepancies between the Matrix and the Handbook. In the end, not only does the Matrix reflect consistency with both the Faculty Handbook and University Bylaws, it also reflects an enhancement of faculty authority in several areas.

The Committee did not identify any areas where changes to current policies and/or procedures are warranted, and believes that the development of the Matrix will advance shared governance at University of the Pacific.

One of the key drivers of the many iterations of the Matrix was the process of determining appropriate roles for decision-making. For the first year and a half of meetings, the Committee relied upon a model of delegation that included the following roles, in descending order: Approve, Decide, Recommend, Consult, and (be) Informed. Quite late into our conversations, the Committee adopted the RAPID governance model, which assigns authority to those who "Recommend," "Approve," "Perform," offer "Input," and "Decide." In a variation on this theme, the SGC eliminated the "Perform" role so that the final categories, in descending order, are: "Approve," "Decide," "Recommend," and "Input." Whereas the former model includes a passive category in which stakeholders are merely informed of decisions, Pacific's version of the RAPID paradigm empowers all University stakeholders. This fully participatory model, which privileges inclusion and transparency, defines the practice of shared governance as a commitment to sustained dialogue and debate, a respect for the integrity of process, and an enduring affirmation of our common purpose.

REFERENCE MATERIALS

Reference Materials on Shared Governance Reviewed by the Committee at the onset of the process:

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- Blenko, Marcia w., Mankins, Michael C., and Rogers, Paul. "The Decision-Driven Organization". *Harvard Business Review.* June 2010.
- Rogers, Paul and Blenko, Marcia. "Who Has the D? How Clear Decision Roles Enhance Organizational Performance". *Harvard Business Review.* January 2006.