

Shared Governance in UVU Policy Development Process

Cara O'Sullivan
Policy Office
July 2024

Agenda

- Shared Governance
- Key Elements of Shared Governance in Policy Process
- Roles and responsibilities
- Four policy processes

What is Shared Governance?

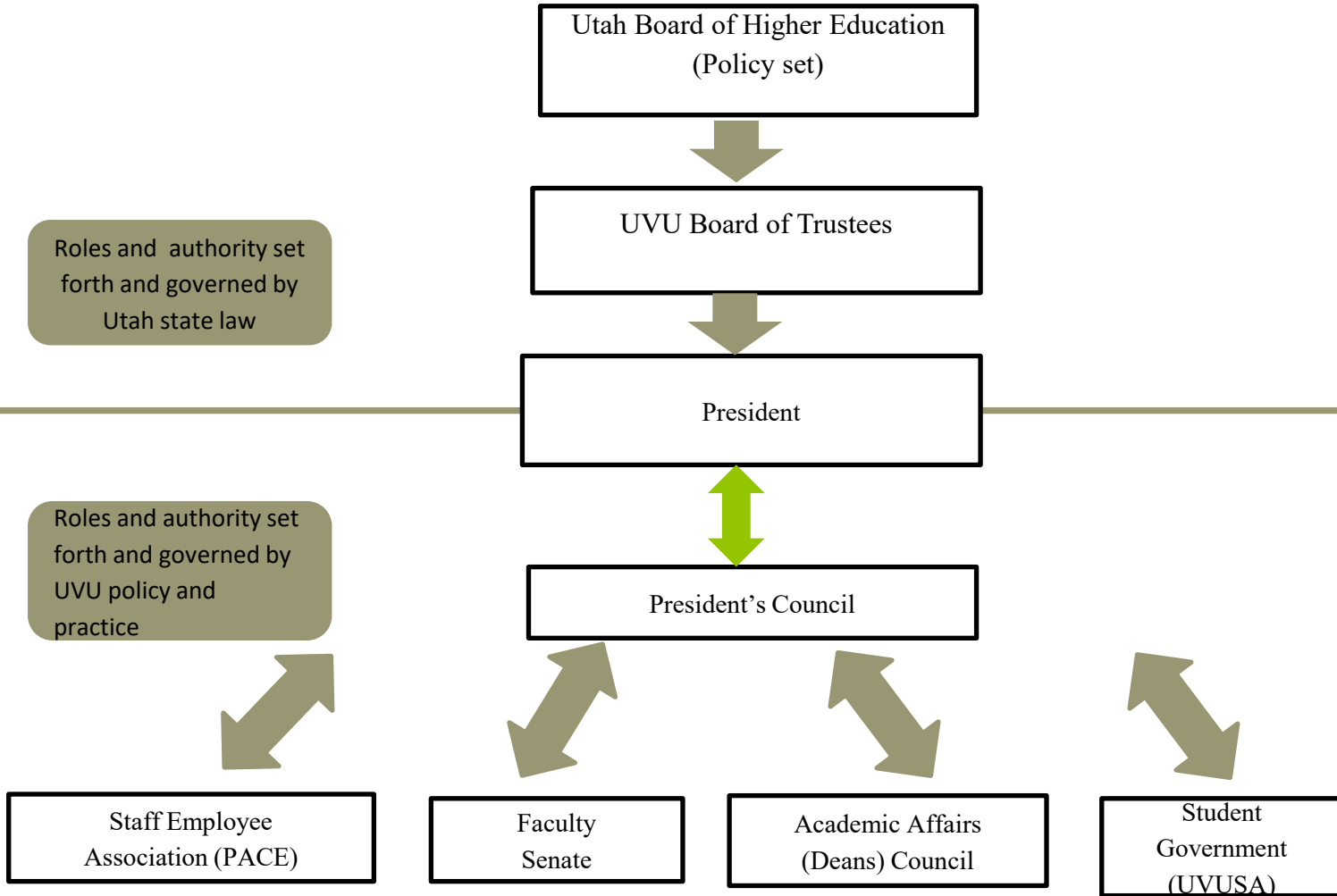
“Shared governance is a model of management in higher education founded on democratic ideals and is based on principles of *mutual trust, respect, fairness, transparency, accountability, open dialogue*, and the best use of human talent and physical resources.”

—*Statement on Government of Colleges and Universities, AAUP*

Shared Governance Policy Development Model

UVU developed and follows a *shared governance* policy development model with established roles and input stages that provide opportunities for members of an institution's community—students, staff, faculty, and administration—to provide feedback and perspective in the institutional policy process.

Shared Governance at UVU



Role of the Policy Office

The Policy Office, which reports to Jeremy Knee, Deputy General Counsel, was established to

- Facilitate the policy development process.
- Ensure compliance with UVU Policy 101 *Policy Governing Policies*.
- Ensure editorial quality and develop style guidelines (in compliance with *Chicago*).
- Oversee the EAC.
- Conduct policy research.
- Maintain glossary of standard definitions across all policies.
- Maintain online policy system.

One Policy to Rule Them . . .

Policy 101 *Policy Governing Policies and Procedures*

- Establishes roles and responsibilities of entities involved in policy draft review.
- Establishes review processes that ensure university constituents have opportunities to provide input.
- Stipulates four different policy review processes.



Roles: President's Council

- **President's Council** plays a central role in the policy governance of the institution.
- The General Counsel and the vice presidents may serve as policy sponsors and may appoint policy stewards.
- **Policy Subcommittee**, as a subgroup of President's Council, reviews end-of-stage policy drafts and serves as the gatekeeper—determines whether a policy draft is ready to be submitted to President's Council.

Roles: Policy Sponsors/ Responsible Office

- The policy sponsor is the vice president of the responsible office listed in the policy header.
- Must be a vice president or chief division executive and a member of President's Council.
- The policy sponsor reviews and oversees university policies for their area(s) of responsibility and appoints policy stewards.
- Oversees the development and advancement of policy drafts through the policy approval processes.

Roles: Policy Stewards

- Appointed by the policy sponsor, the policy steward oversees the writing committee and manages the day-to-day management of drafts.
- The policy steward meets with university community members throughout the process to obtain written comments, answer questions, and respond to comments.
- The policy steward works with the Policy Office to obtain editorial reviews and receive guidance and support as needed in writing coaching, research services, and process support.

Role of University Governance Entities

- Academic Affairs Council—deans and other executives, who are appointed
- Faculty Senate—elected representatives from academic departments and colleges
- PACE (Professional Association of Campus Employees)—elected staff representatives from divisions
- UVUSA—elected student representatives from academic colleges

NOTE: Members of Faculty Senate, Professional Association of Campus Employees (PACE), and Utah Valley University Student Association (UVUSA) may serve as co-stewards or as drafting committee members.

Equity Assessment Committee (EAC)

- The EAC is a committee of faculty, students, and staff established to review and assess policy drafts to ensure policies are impartial and fair for all members of the university community.
- The EAC reviews each Stage 1 draft after the Policy Office and General Counsel complete their reviews.

EAC—*continued*

- The EAC submits in writing their findings and recommendations to the drafting committee, the Policy Office, and Office of General Counsel for consideration.
- The policy steward and sponsor respond in writing to the EAC, indicating how they will adopt EAC recommendations or explaining why they will not adopt the EAC recommendations.
- The policy sponsor and steward submit their responses to the EAC findings and recommendations with the proposed Stage 2 policy draft to the policy subcommittee and President's Council.

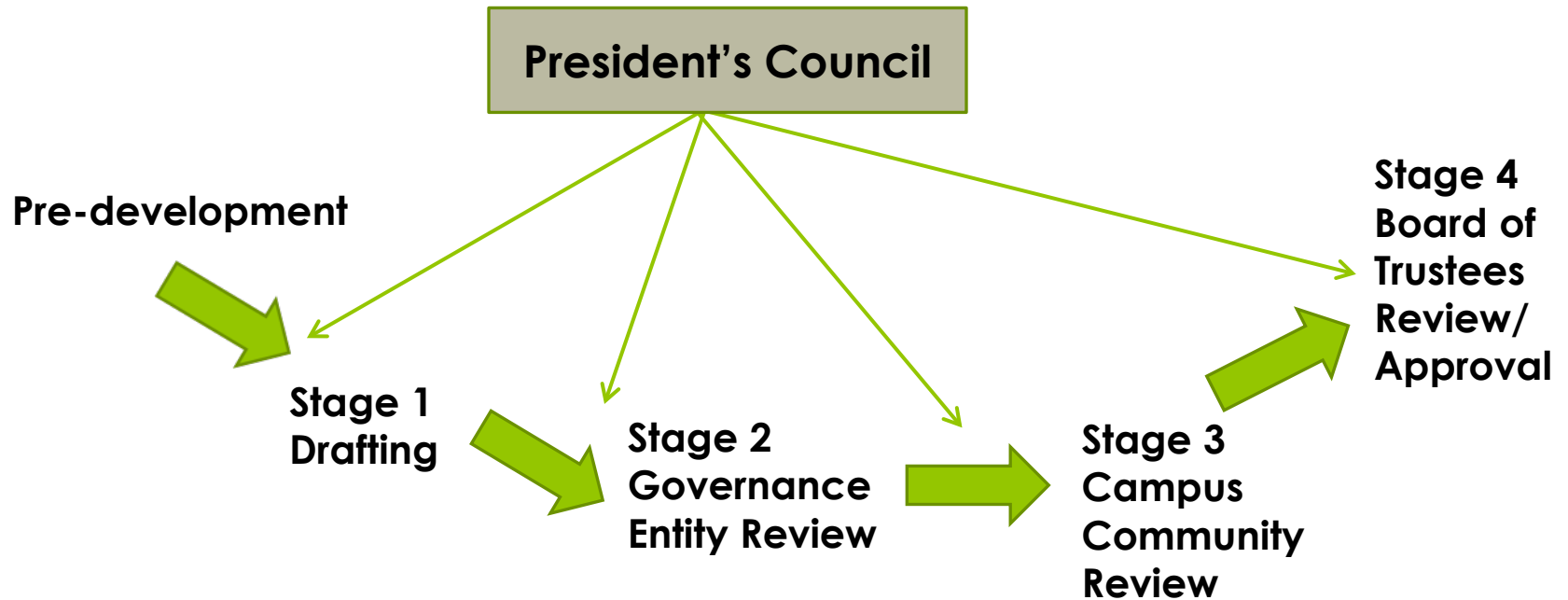
Four Policy Review Processes

UVU has four policy approval processes:

- Regular policy approval process (most often used)
- Temporary policy approval process
- Compliance change policy approval process
- Non-substantive change policy approval process

Regular Policy Approval Process

Most policies are developed through this process, which we will detail in this presentation.



Before Entrance to Stage 1 (Pre-development)

- Policy need is identified due to change in state code or federal law, a new development at UVU, or an advance in industry best practices.
- Sponsor and steward are identified.
- The sponsor and steward develop and submit an executive summary to President's Council for approval.
- The summary includes the reason for the requested policy action and the fiscal or legal impact it would have.

Stage 1 Drafting

- Policy Office posts the executive summary and notice that the policy draft has entered Stage 1.
- Policy steward and sponsor gather a committee of subject matter experts to draft the policy. (This includes community members who would be affected by the policy.)
- If appropriate, General Counsel may assign an attorney with subject matter expertise to the drafting committee.
- Policy Office provides ongoing editorial support with an embedded editor.
- Policy steward submits the final draft to the Policy Office for a comprehensive editorial review. This includes review by Jeremy Knee, Deputy General Counsel.

- The Policy Office and steward work together to finalize the draft.
- The draft is submitted to the EAC for equity assessment.
- Draft is submitted to President's Council policy subcommittee.
- The policy subcommittee may approve the draft to be submitted to President's Council or may require more revisions and request to review the revised draft.
- President's Council approves the policy draft to enter Stage 2 or may require more revisions.

Sample: Executive Summary

UTAH VALLEY UNIVERSITY

Executive Summary: Policy 110 *Contacting the Media* and Policy 112 *Use of University Social Media*

Date: September 28, 2017
Sponsor: Cameron Martin
Steward: Stephen Whyte
Policy Process: Regular
Policy Action: Revision/New

Issues/Concerns (including fiscal, legal, and compliance impact):

Rationale for revising UVU Policy 110 *Contacting the Media* (Revision)

UVU Policy 110 *Contacting the Media* was approved September 17, 1992. Since the policy's effective date, the way we communicate with the media has changed drastically; in addition, the University has received guidance on university compliance issues around media contact. It is critical for the University to update and address in policy the multifaceted aspects of working with the media.

Rationale for creating Policy 112 *Use of University Social Media* (New):

Social media has become part of the fabric of university life, not just in student use, but in marketing, community relations, student affairs, classroom activities, and alumni engagement. On the surface, Facebook, Twitter, YouTube, Snapchat, Instagram, etc., are fun social media platforms that allow family and friends to communicate with each other. However, below the surface, it is a volatile communications channel that is causing headaches and lawsuits for organizations and universities across the country. UVU's social media guidelines are outdated and cannot be enforced. It is critical that the University responds with policy-level guidance to direct the campus community on social media.

Suggested Changes:

Policy 110 Revisions

Visit the Policy Office online at www.uvu.edu/policies



Stage 2 University Governance Entities Review (60 Days)

- Policy Officer posts Stage 2 draft online with EAC recommendations.
- Policy sponsor and steward attend meetings with each of the university entities to present the policy and answer questions.
- Each university entity reviews the policy to provide feedback.
- University entities use the *Summary of Comments Form* to provide their formal commentary. Each group votes on which written comments represent the group's view.

Stage 2 - *continued*

- The drafting committee reviews the *Summary of Comments Form* and decides what revisions to make, if any. and responds in writing to each comment.
- For feedback that is not implemented in policy, the sponsor/steward document the reasons for doing so.
- The steward submits the proposed Stage 3 draft with the *Summary of Comments Form* to the Policy Office and the Deputy General Counsel for review.
- Once the drafting committee and Policy Office finalize the draft, the Policy Office places the policy draft on the agenda for policy subcommittee and President's Council.

Stage 2 - *continued*

- Revised draft with the *Summary of Comments* is submitted to the policy subcommittee for approval.
- The policy subcommittee may approve the draft to be submitted to President's Council or may require more revisions and request to review the revised draft.
- President's Council approves the policy draft to enter Stage 3 or may require more revisions and request to review the revised draft.

Sample: Summary of Comments Form

Policy Title: Administration of Scholarships and Other Payments to Students	Policy Number: Policy 512
Sponsor: Kyle Reyes	Steward: John Curl
Presentation to: Faculty Senate	Date Presented: 2/5/19-2/24/19

CAMPUS ENTITY	POLICY SECTION	Editorial Comment?	Substance Comment?	CONCERN	SPONSOR/STEWARD RESPONSE
Senate	Line 20, Line 169, Line 181, Line 193	y		Several places have extra spaces between words. Please remove extra spaces.	Removed extra spaces.
Senate	3.2		y	Provide definitions of non-exempt in the definition section.	Inserted reference to Policy 325
Senate	3.6	y		<p>The original statement is: "(Awards provided to a student from a closed—i.e. UVU student-only—competition are treated as a scholarship for the purposes of this policy. See 3.7 below.)"</p> <p>Reformat to read: "Awards provided to students from a closed competition (i.e., UVU students only) are treated as a scholarship (see 3.7 below)."</p>	Updated to new statement.

Stage 3 Campus Community Review (7 to 14 Days)

- Opportunity for university entities to see how policy sponsors and stewards responded to their comments and what revisions were made to the policy draft.
- Campus community members may submit comments directly to or via email to the Policy Office and the policy steward.
- The policy sponsor, steward, and drafting committee review all comments received and make appropriate revisions. (The Policy Office reviews responses for clarity and tone.)
- If revisions were made to the draft, it is reviewed by policy subcommittee and President's Council and approved for Stage 4.

Stage 4 Board of Trustees

- Policy Officer posts Stage 4 draft online.
- Board of Trustees approves or disapproves the policy draft.
- If the Board disapproves the policy, they can send it back to the appropriate stage—the President decides which stage.
- If approved, the policy is posted in the Policy Manual and goes into effect.

Temporary Policy Approval Process

Stage 1 Drafting: Policy sponsor and steward develop and submit an executive summary to President's Council.

Stage 2 Board of Trustees Review: Policy sponsor and steward submit policy draft to the Board of Trustees to approve or disapprove.

Things to remember:

- Temporary policies are not open for feedback from the university community.
- These policies in effect for one year during which time the regular policy is under development.
- In certain circumstances, these policies can be extended to 18 months.

Non-substantive Change Policy Approval process

- Changes to an existing policy or policy draft that correct typographical and grammatical errors, change policy format, and/or update names, titles, or other reference information, and that do not alter the intent, scope, meaning, or application of a university policy or policy draft.
- The approval of non-substantive revisions via this process does not constitute the enactment of a new or revised policy and does not change the effective date of these policies. (See Policy 101, section 5.13 for details.) *General Counsel reviews all proposed revision.*

Compliance Change Policy Approval Process

- A policy approval process reserved for nondiscretionary, limited scope revisions to passages of existing policy, or deletions of a policy from the Policy Manual, necessitated by changes in external law or other binding compliance requirements.
- The revisions proposed (limited scope) during this process are limited to only those specific policy sections requiring modification to maintain the University's compliance with external law. (See Policy 101, sections 4.2.4 and 5.12.)

Policy Coordinator Committee

What is a Policy Coordinator?

A dedicated subject matter expert employed by a university organization tasked with assessing policy needs, researching and drafting policies, and coordinating policy work with the Policy Office and others across the University.

Challenges of Shared Governance Model

- Varying perspectives of staff, faculty, administration, and students
 - Identifying key campus entities to give voice to constituents
- Communication and transparency—TOPS was our answer to this challenge
- Maintaining emphasis on *shared*
- Summer break: pause in policy process
- Understanding that governance differs across institutions; what works for one may not work for UVU and vice versa.

TOPS (The Online Policy System): Our Tool



www.uvu.edu/policies

How to Contact the Policy Office

Cara O'Sullivan

Office: BA211C

Office Phone: 801 863-7355

Email: cara.osullivan@uvu.edu