Shared Governance in UVU Policy Development Process

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Agenda

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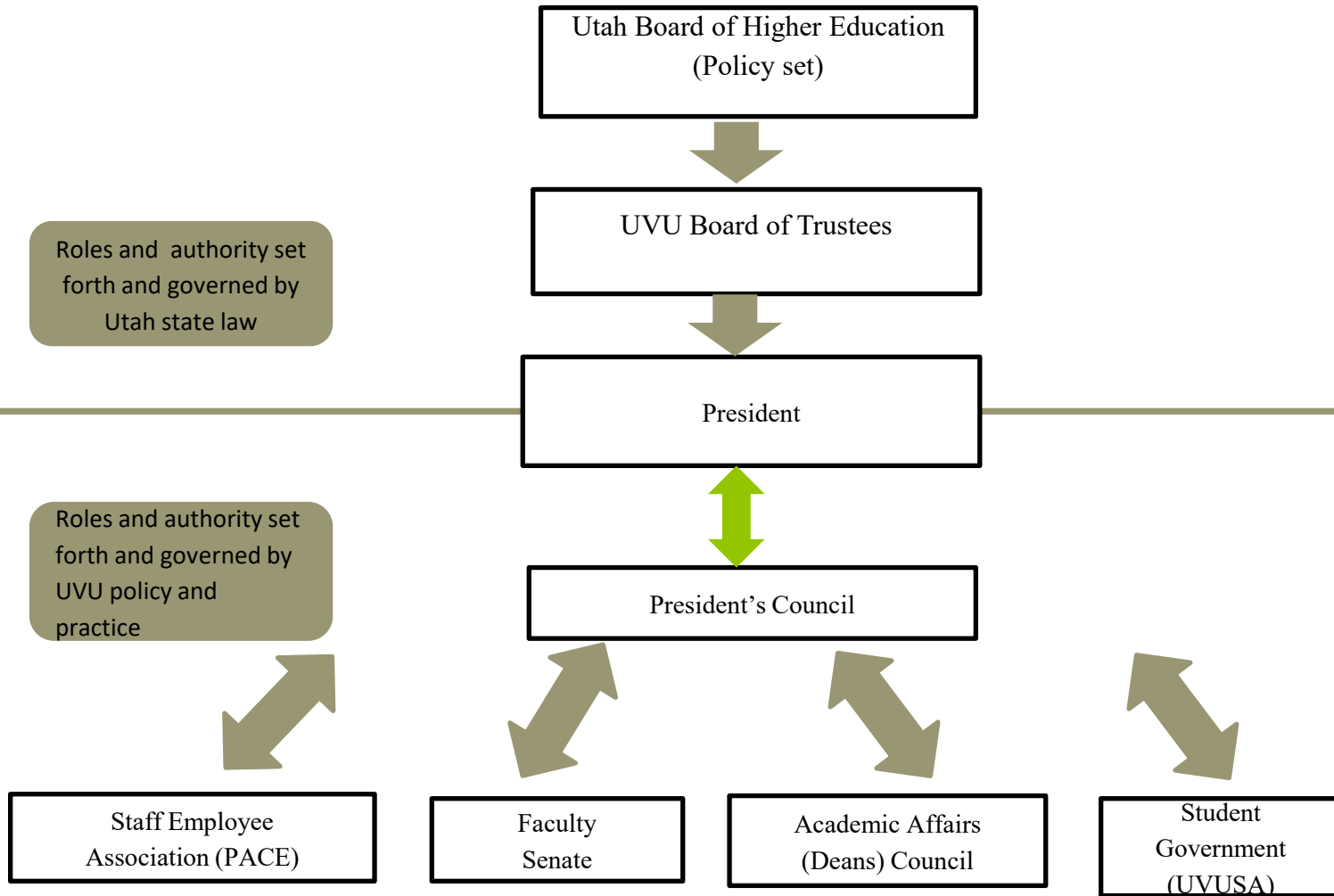- Four policy processes

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

Utah Board of Higher Education
(Policy set)

UVU Board of Trustees

Roles and authority set forth and governed by Utah state law

President

Roles and authority set forth and governed by UVU policy and practice

President's Council

Staff Employee Association (PACE)

Faculty Senate

Academic Affairs (Deans) Council

Student Government (UVUSA)

Role of the Policy Office

The Policy Office, which reports to Cathy Jordan, 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 Equity Assessment Committee.
- 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 or chief division leader 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)

o The EAC is a committee of faculty, students, and staff established to review and assess policy drafts through an equity framework to protect, promote, and enrich equal opportunity and diverse viewpoints and to ensure policies are impartial and fair for all members of the university community.

o The EAC reviews each policy draft during Stage 2 University Governance Entities Review in the regular policy process.

EAC—*continued*

o The EAC submits in writing their findings and recommendations to the drafting committee, the Policy Office, and Office of General Counsel for consideration.

o 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.

o The policy sponsor and steward submit their responses to the EAC findings and recommendations with the proposed Stage 3 Boad of Trustees policy draft to the policy subcommittee and President's Council.
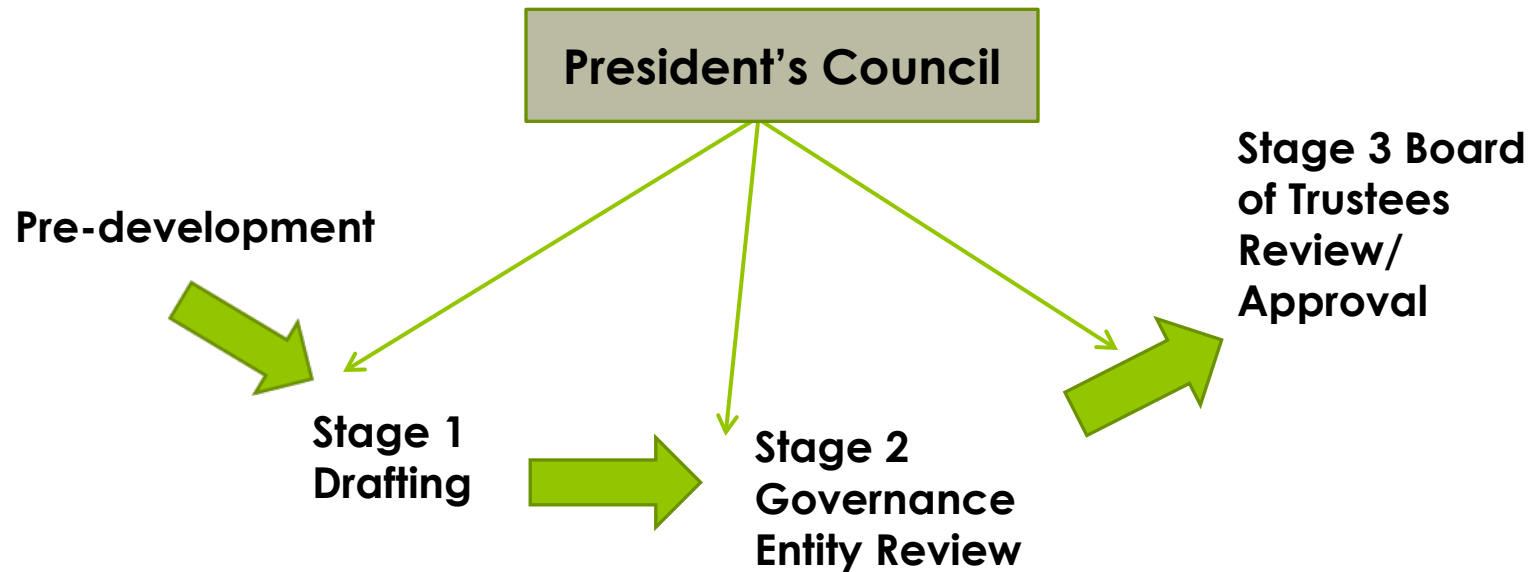
Four Policy Review Processes

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.

President's Council

Pre-development

Stage 1 Drafting

Stage 2 Governance Entity Review

Stage 3 Board of Trustees Review/ Approval

Before Entrance to Stage 1 (Pre-development)

- Policy need is identified due to change in state code or federal law or new development at institution.
- 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 Cathy Jordan, Deputy General Counsel.

- The Policy Office and steward work together to finalize the draft.
- 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
Policies and Procedures

POLICY 131 EXECUTIVE SUMMARY	
Policy Number and Title: 131 Survey Distribution	
Date:	April 7, 2025
Sponsor:	Marilyn Meyer
Steward(s):	Taylor Lovell
Policy Process:	Regular
Policy Action:	New
Policy Office Editor:	Miranda Christensen
Embedded Attorney:	Cathy Jordan

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

Currently, at UVU, any student or employee who can obtain a UVU email address can send any number of surveys to any number of people. This can lead to students and employees receiving too many surveys or receiving multiple surveys at the same time. If recipients feel they are being over-surveyed, they will be less likely to respond to future surveys and response rates will drop.

We are seeing a downward trend in survey response rates. For example, here are the response rates for the Fall Student Opinion Survey from the last five years:

- 2020: 11.6%
- 2021: 9.2%
- 2022: 8.6%
- 2023: 7.0%
- 2024: 7.4%

Suggested Changes:

This new policy will

- Coordinate survey efforts across campus to minimize survey fatigue and project overlap
- Formalize the process by which surveyors can acquire student and employee information and how that information can be used for surveys
- Support the strategic planning and scheduling of surveys to maximize response rates and data quality
- Ensure UVU decision-makers have access to high-quality information to guide informed decision-making

Stage 2 University Governance Entities Review (60 Days)

- Policy Officer posts Stage 2 draft online.
- The Policy Office submits the draft to the EAC for assessment.
- 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(this includes EAC comments).

- 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

SUMMARY OF COMMENTS (STAGE 2)			
Policy Number and Title: 172 Advertising			
Sponsor: Kara Schneck			
Steward(s): Matt Chambers			
UVUSA	**Academic Affairs Council**	**Faculty Senate**	**PACE**
Date Presented: No comments.	Date Presented: 2/25/2025	Date Presented: 2/25/2025	Date Presented: 2/18/2025

Note: Indicate with X whether the comment is editorial (grammar, punctuation, sentence structure) or is a substance comment (content, procedure, etc.)

Campus Entity	Policy Section	Editorial Comment	Substance Comment	Concern	Sponsor/Steward Response
Faculty Senate	4.3.1		X	Clarify which specific laws, regulations, and policies apply.	Because the IRS, USHE, and FCC laws and guidelines are updated or changed from time to time, we have referenced the applicable laws but will not list their language within the policy. This will be something to address within the advertising guidelines, so we can keep it updated and easy to reference.
Faculty Senate	4.3.1		X	Ensure that all necessary requirements are explicitly stated in the policy rather than referencing an external guide.	This answer goes with the previous statement. It is common practice to reference necessary requirements within a guideline document, as external laws and procedures change. There are too many items to list within the policy.

Stage 3 Board of Trustees

- Policy Officer posts Stage 3 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 the Board approves the policy, it 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

o 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.

o 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.*

Non-substantive Change - *continued*

o General Counsel reviews and approves all proposed non-substantive changes.

o The Policy Office documents the non-substantive changes in an executive summary that is provided to President's Council as an information item.

o The Policy Office then republishes the policy with the approved non-substantive changes.

Compliance Change Policy Approval Process

o A policy approval process reserved for nondiscretionary, limited scope revisions to passages of existing policy, creation of new policies, or deletions of a policy from the Policy Manual, necessitated by changes in external law or other binding compliance requirements.

o OGC determines whether a proposed revision is a compliance change.

o Policy is approved by President's Council and Board of Trustees.

o Policy Office news blog publishes a summary explaining the legal reasons for the compliance change.

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.

Resources

For helpful resources, visit our website.

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

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