Shared Governance Policy

Shared governance is a basic tenet of higher education and ensures Doane's ability to carry out its mission. Effective governance is shared among the Board of Trustees, administration, faculty, staff, and students in an indispensable interdependence to make important decisions on the success of our students and the sustainability of Doane University. Each stakeholder has primary authority over certain areas of expertise and offers a valued voice in decisions affecting the programs, organization, and traditions of the institution.

Doane's system of shared governance begins with statements of values and principles to guide decision-making.

Values
Successful shared governance results from relationships, communication, and integrity.
- **Relationships:** Shared governance occurs in a relational system, so effective shared governance necessitates respect for and attentiveness to creating and maintaining relationships. Doing so requires respecting persons, their expertise, and the boundaries of decision-making responsibilities; and committing to the shared purpose of making the best possible decisions for Doane.
- **Communication:** Good communication includes clearly and consistently articulating to all stakeholders clear expectations about timelines, roles, decision scopes, updates, and all necessary information and context throughout the decision-making process using appropriate channels of communication; fully and honestly sharing the rationale and supporting evidence that support recommendations and decisions; and seeking out and listening to stakeholders in the spirit of broad inclusivity and collaboration.
- **Integrity:** Relationships and communication require people to act with integrity. Therefore, Doane values honesty, consistency in how we maintain relationships and communicate with each other, and holding ourselves as accountable to upholding shared governance and these values as we want others to be.

Principles of Shared Governance

Principle 1: Student academic excellence, as it aligns with the mission of the institution, is the overarching priority of all stakeholders: The Board of Trustees, administration, faculty, staff, students, and alumni.

Principle 2: A culture of communication nurtures an environment in which discussion occurs among all relevant stakeholders that is regular, meaningful, comprehensive, and constructive.

Faculty, staff, administration, and the Board all pledge a commitment to open, honest, timely, inclusive, and respectful dialogue while maintaining appropriate confidentiality.

Principle 3: Decisions should advance the mission, values, and purpose of the university. Strategic planning drives all decisions related to institutional priorities and resource allocation across the university and, therefore, reflects joint effort and shared governance by faculty, staff, administration, and the Board in developing a university-wide strategic plan and budget.

Principle 4: Approving the institutional budget is the responsibility of the Board of Trustees, with the President, Leadership Team, and other stakeholders having recommending and consulting roles.

Principle 5: Curriculum and academic decisions are primarily the purview of the faculty, with other stakeholders having recommending and consulting roles.

Principle 6: Employment decisions are primarily the responsibility of the President and the Board of Trustees. Handbooks articulate additional employment matters. Appointment and advancement recommendations of the faculty should generally be respected by the administration and the Board, and should follow best practices regarding the principle of academic freedom.

Principle 7: University operations decisions are primarily the responsibility of the President and the relevant administrative office but often have wide impact. Therefore, decisions with implications for other stakeholders should incorporate the consultations and recommendations of those affected.

Principle 8: Selection and ongoing review of the University President is the responsibility of the Board and shall be conducted in accordance with the Board's policies, with other stakeholders having consulting roles.

Principle 9: Selection and ongoing review of other key University Officers is the responsibility of the University President, with other stakeholders having consulting roles. For academic officers, a meaningful role for the faculty is imperative.

Principle 10: Continual review and adjustment of this document is an essential element of the shared governance process, and should be approached with a spirit of mutual respect. It is the duty of every member of the community to maintain the relevance of the ideals represented in these principles by reviewing this document annually, or more frequently if needed.

Operational Components

In order to operationalize the Principles and Values, the following components were developed and will be shared pending the approval of the Shared Governance Principles by the Board of Trustees in their October meeting.

- The Approve-Recommend-Consult (ARC) Decision-Making Framework lists decision-making areas across the university and the constituency groups involved in that decision. Additionally, the ARC Decision-Making Framework delineates the responsibilities of the groups related to the decision.
- The Violations Process describes how potential violations of the operational components of shared governance are to be addressed.
- The Update Process describes how changes to the operational components of shared governance will be addressed.
- A new University Shared Governance Committee (USGC) will be convened and is charged with reviewing potential violations as well as regularly updating the operational components of shared governance.

Approve-Recommend-Consult Decision-Making Framework

To enact a system of shared governance that operationalizes the Principles, Doane developed the Approve-Recommend-Consult (ARC) Decision-Making Framework. The ARC Framework is a hierarchical system where responsibilities of constituency groups for decision-making areas are categorized and defined in the following ways: Approve, Recommend, or Consult.

ARC Decision-Making Functions	
Approve	**Approve signals the group or person who has final approval and decision-making authority.** The person or group that approves a decision must be able to ensure that resources are in place to implement the decision and must be accountable for the outcomes of that decision. Those in the approval role are also charged with executing the decision properly and communicating it in a timely fashion. Approvers may also have recommending and consulting roles.
Recommend	**The main focus for this group or individual is to propose a recommendation or formal course of action for the approval phase — sometimes including providing alternative courses of action, complete with pros and cons.** The recommending party or parties must seek input from all relevant stakeholders and follow all necessary and proper processes and procedures before making recommendations. The individual or group ensures that any recommendations are clearly articulated, timely, operationally feasible, and have listed conflicts or impasses. Those participating at this level must be sure that the recommendation is ready for implementation should it be approved by those who are empowered to do so. It should be noted that there may be instances where several recommendations are submitted and the approver(s) may identify the most suitable recommendation. This may be particularly true if the recommendations propose different actions. Recommenders may also have a consulting role.
Consult	This role is **advisory. Parties provide relevant information, expertise, and/or analysis** in a timely manner given time constraints so that the Recommender(s) can evaluate the evidence.

The ARC Decision Areas Matrix (see end of document) specifies roles for constituency groups for many decision areas across the university. There's also the recognition that employees can have multiple roles at Doane. For example, staff may be enrolled in courses and administrators may teach. More than one role at Doane does not negate or minimize one's role in shared governance nor does it minimize one's accountability. The following table defines the roles described in the ARC Decision Areas Matrix. More definitions to aid in the ARC Decision Areas Matrix may be found in the Appendix.

Roles	
Staff	A person whose primary role at Doane University is to implement the regular functions of the university (e. g., executive, operational, academic, clerical, logistics, sales, support, maintenance) and who are not administrators or faculty.
Administration	A person who is on the Leadership Team (or similar) or is a Dean.
Faculty	A person whose primary role at Doane University is educating learners (through teaching or researching).
Trustee	A person who has been appointed by the Board of Trustees and is currently serving a term as a Trustee.
Student	A person enrolled in a course at Doane University with the understanding that some students may take a term off but are still considered to be students.

University Shared Governance Committee

The University Shared Governance Committee (USGC) will meet at least four times per year and more often as needed. The USGC is charged with the following tasks:

1. Addressing all violations reported to the USGC.
2. Reviewing and recommending updates to the Shared Governance policy.

Membership of the USGC shall consist of eight members, seven with voting privileges:

- Two staff members chosen by Staff Council (voting)
- Two faculty members chosen by Faculty Council (voting)
- Two Board of Trustees members chosen by the Board of Trustees (voting)
- One Administrator chosen by the Leadership Team (voting)
- One Administrator   chosen by the Leadership Team (non-voting)

Members will serve two-year renewable terms. Members of the USGC will represent the Shared Governance Principles in all decision-making and uphold all policies relating to shared governance.

Dispute Process

Violation: A party or constituency engages or fails to engage in the decision-making process in a way that violates the Shared-Governance Principles and/or the ARC matrix. Examples include, but are not limited to:

- A party or constituency assumes for themselves a level of decision-making authority the ARC Decision-Making Matrix does not prescribe;
- A party or constituency does not engage another party or constituency (as described in the ARC Decision-Making Matrix) in the decision-making process;
- A party or constituency fails to act in a timely manner (as described in the Shared-Governance Principles) when part of a decision-making process;

Process for resolving disputes :

1. Report violations to the reporter's constituency's group (i.e., Board of Trustees' Executive Committee, Faculty Council, Staff Council, Leadership Team). The constituency group should make every effort to resolve the reported dispute at that level.
   - Disputes need to be documented in writing (including, dates) at each stage of reporting and resolution.
   - As soon as a dispute is recognized, it should be fully described in writing and reported to the constituency's group.
   - The organized body documents in writing their efforts to address the dispute, including any additional information they brought to bear in efforts to address the dispute and how they communicated the resolution back to the initiating reporter(s). The constituencies organized body determines whether a report is, in fact, a violation of shared governance. The organized body should send to the University Shared Governance Committee each violation and how they addressed it within 5 business days of resolving it.
     > The constituency group is given five business days from the date of the dispute's reporting to communicate to the University Shared Governance Committee the following:
     > 1) details of the dispute, and
     > 2) any actions they have taken in resolving the dispute or details on why they were not able to do so.

2. If the organized body cannot resolve the dispute, the violation will be addressed by the University Shared Governance Committee.
   - If the dispute is addressed by the University Shared Governance Committee, that body needs to document any additional information they brought to bear in efforts to address the dispute, how they resolved the dispute, and how they communicated the resolution back to the organized body from which the report originated and to the initiating reporter(s).

The University Shared Governance Committee should also regularly review all dispute reports from constituencies' organized bodies to identify any patterns and trends. This review of patterns and trends can be leveraged to guide improvements and revisions of the Shared-Governance Principles and ARC Matrix, and broader education needs about shared governance at Doane.

Update Process

To ensure consistency with processes, procedures, practices, and efficacy of the content, the proposed Shared Governance Principles and ARC Matrix will follow this process:

- The proposed Shared Governance Principles and ARC Matrix will be updated at the end of the inaugural year and then on a regular review cycle *[the ongoing committee should decide how many years this review cycle should be]* thereafter.
- Concerns with the efficacy of the content and/or ARC function, that is, Approve, Recommend or Consult will appear before the quarterly University Shared Governance Committee (USGC) meeting. Additional meetings are scheduled as needed. *(Submission form will need to be created)*
- Concerns will be categorized into one of five areas and forwarded to that area for discussion and decision-making: USGC, Leadership Team, Faculty Council, Staff Council, and Human Resources.

Appendix
The operational definitions listed below are to be used to ensure consistent language is applied in decision-making areas.

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Operational Definitions	
Policy	The rules and guidelines that govern an organization and ensure consistency and compliance with an organization's strategic direction. Policies explain what they are about, who is responsible to inform, consult, decide, implement, and be accountable for the policy, and why the policy is necessary.
Process	The workflows that indicate where there is a separation of responsibilities and control points. Address who is responsible to perform the Process, what major functions are performed, and when the function is triggered. A series of related, structured activities performed by a group of people to accomplish a specific organizational goal.
Procedure	Developed from policies; not a one-to-one relationship between a policy and a procedure. Usually structured by subject and address a single task. Sequence of steps or work instructions to complete an activity within a process. The documented procedure should be detailed enough for an experienced employee or new starter to carry out the process activity without difficulty.
Practice	Carry out or perform particular activities, methods or customs habitually or regularly.