

# UWM POLICY ON THE CREATION OF UNIVERSITY POLICIES

No: S-42.5

Date: September 20, 2007

**Authority:** Wisconsin Statutes, Chapter 36; UWM Faculty Document 2590

**Initiator:** Academic Staff Committee Chair, University Committee Chair, and Vice Chancellor for Finance and Administrative Affairs

**Responsible Party:** Secretary of the University

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## I. PURPOSE

This Policy establishes guidelines for the initiation, development, adoption, and publication of University of Wisconsin – Milwaukee (“UWM” or “University”) policies and procedures, and the modification or elimination of existing UWM policies and procedures.

The Policy will assist UWM in serving its mission and achieving its goals; maintaining accountability on the part of responsible officials and University community members, and providing clear, concise and current guidelines on standards and requirements. This Policy only applies to UWM policies and procedures that have University-wide application. **Excluded are college, school, unit, division or department policies.**

It is not the intention of this policy to supersede the policymaking authority or existing procedures of the faculty and academic staff under Section 36.09 of the Wisconsin Statutes. That authority and those existing procedures will be incorporated into this policy as further described below.

## II. POLICY

UWM policies embody UWM’s intended course of action for its administrators, faculty, academic staff, classified staff, other employees, students, visitors and others within the University community. UWM policies must be approved, kept current, and made accessible to all relevant operating units, in a timely manner, to assure compliance with policy objectives and to establish the accountability of operating units **and individuals** affected by each policy. UWM expects the members of the University community to comply with its policies.

A UWM policy should satisfy all of the following criteria:

- **It is consistent with shared governance as specified in Wisconsin Statutes (Chapter 36), UWS Administrative Code and relevant UW Milwaukee Policies and Procedures approved by governance bodies and enforced by same.**
- It is a governing principle that mandates or guides actions;
- It has institution-wide application;
- It will change infrequently and sets a course for the foreseeable future;
- It helps ensure compliance with applicable laws and regulations and reduces risk; and
- It enhances the University's mission; and
- It is approved by the Chancellor **and where necessary approved by the UWS Board of Regents.**

The Secretary of the University's website has been established as the official location of University policies and procedures. In addition, all University-wide policies and procedures which exist as of the effective date of this Policy shall be reviewed by the Chancellor's designee(s) and referred to an Initiator for completion of the same procedure as for new or revised UWM policies.

### III. DEFINITIONS

- **Academic Staff** – Professional and administrative personnel other than faculty and classified staff with duties and types of appointments that are primarily associated with higher education institutions or their administration.
- **Classified Staff** – UWM employees who are civil service employees of the State of Wisconsin, hired into positions that have not been specifically defined as unclassified by state statute.
- **Dean** – the Deans of each UWM school and college.
- **Faculty** – Unclassified staff who hold the rank of professor, associate professor, assistant professor, or instructor in an academic department or its functional equivalent.
- **Initiator** – the UWM representative who initiates a new policy, a change to an existing policy, or the elimination of an existing policy. The Chancellor, the Provost, any Vice Chancellor with authority over the subject matter of the policy, the University Committee Chair, the Academic Staff Committee Chair, or a standing Faculty or Academic Staff Committee may be the Initiator.
- **Policy** – guiding or governing principle(s), formally approved in accordance with this policy, to provide assistance in the conduct of university affairs.

- **Policy Advisory Committee (“PAC”)** – appointed by the Chancellor, **in consultation with the Provost, the University Committee, the Academic Staff Committee and other relevant groups**, is comprised of campus representatives from administration, governance, and classified staff. Each of the following groups shall be invited to select a representative to serve on the **PAC**:

- University Committee
- Academic Staff Committee
- Classified Staff
- Student Association
- Division of Academic Affairs
- Division of Finance & Administrative Affairs
- Division of Student Affairs
- Academic Deans
- Secretary of the University (ex officio)
- Office of Legal Affairs (ex officio)

The Chancellor may augment the **PAC** with representatives of other principal stakeholders as necessary for a particular policy under review.

Note that the PAC does not review policies primarily under the jurisdiction of faculty or academic staff under Wis. Stats. 36.09 (4) and (4m).

- **Proposed Policy** – a proposed new policy or change to an existing policy.
- **Procedures** – statements that provide for orderly implementation of an established policy through specific, prescribed actions.
- **Responsible Party** – the UWM representative, group, or committee primarily responsible for overseeing implementation, administration of and updates to a particular policy. The Responsible Party may be the chair of the committee that is primarily responsible for overseeing implementation, administration of, and updates to a particular policy.

#### **IV. PROCEDURES**

##### **A. Initiation and Development of UWM Policies**

Any member of the university community wishing to propose a new or revised policy must communicate such a proposed policy, request for a proposed policy, or change to an existing policy to an appropriate Initiator.

Once the Initiator agrees to formally initiate a new policy or a change to an existing policy, the Initiator will appoint a Responsible Party for the policy. The Responsible Party will oversee the creation of a draft of the

proposed policy with appropriate input and consultation with various governance groups. The Responsible Party should circulate a draft of the proposed policy to an informal group of reviewers for comments and feedback. This group of reviewers may include, but is not limited to, the Initiator, subject matter experts when appropriate, potential users of the proposed policy and representatives of groups, including governance, affected by the proposed policy. Alternatively, particularly in the case of policies originating within faculty or academic staff governance, the Responsible Party may oversee creation or review of the policy by a committee. The Responsible Party shall indicate to each reviewer, or the designated committee, the deadline for comments on the proposed policy and the format for submission of such comments.

**The responsible Party should indicate on the policy transmittal form the names of individuals or groups that have reviewed and commented on the proposed policy or proposed changes to the policy.**

The Responsible Party will also forward a draft of the proposed policy to the Secretary of the University who shall, in consultation with the Office of Legal Affairs, review and offer editorial suggestions to the policy to assure the following:

- (1) Consistency in format and presentation, including numbering consistent with Appendix A, attached;
- (2) Absence of conflicts between the proposed policy and other State, UW-System, and university policies;
- (3) Identification of any legal implications of the proposed policy and
- (4) Consistency with laws or external regulations germane to the policy.

## **B. Policies of the Faculty and Academic Staff**

If a new or revised policy that has been developed under A. above is one that is the responsibility of either the faculty or the academic staff, the Responsible Party will comply with any processes required by governance, such as approval by the Faculty or Academic Staff Senates.

Policies under the authority and jurisdiction of the faculty or academic staff are detailed under Wisconsin Statutes – Chapter 36.09(4) and (4m), which state, in part, as follows:

“[T]he faculty shall have the primary responsibility for academic and educational activities and faculty personnel matters.” Wis. Stat. 36.09(4).

“The academic staff members have the primary responsibility for the formulation and review, and shall be represented in the development, of

all policies and procedures concerning academic staff members, including academic staff personnel matters.” Wis. Stat. 36.09(4m).

Thus, the policies under the primary jurisdiction of faculty or academic staff include:

1. Academic and educational activities (Faculty)
2. Faculty personnel matters (Faculty)
3. UWM (Faculty) Policies and Procedures
4. Faculty Documents
5. Academic Staff personnel matters (Academic Staff)
6. Academic Staff Policies and Procedures (Academic Staff)

Once approved pursuant to the faculty or academic staff procedures, the policy will be forwarded to the Chancellor for final approval under Section D. below or where necessary forwarded to the UWS Board of Regents for approval. Faculty and academic staff policies are **NOT** reviewed by the Policy Advisory Committee.

### **C. Review by the Policy Advisory Committee (“PAC”)**

After a proposed non-faculty or non-academic staff policy has been reviewed by the Secretary of the University’s Office and the Office of Legal Affairs, the Responsible Party will forward a proposed draft of the policy to the campus Policy Advisory Committee (“PAC”).

The PAC’s role is strictly advisory. The PAC will consider the merits of the policy and its consistency with the missions of UWM and the Board of Regents of the University of Wisconsin System. The PAC shall consult with appropriate UWM administrative personnel and faculty and staff governance committees as necessary. Members of the PAC may solicit formal or informal comments or feedback on the draft policy from the groups they represent.

The PAC may recommend acceptance of the policy as drafted, recommend changes to the policy, or recommend against adoption of the policy.

Once the PAC has reviewed the policy, the PAC shall return the policy with its written recommendations to the Responsible Party. While the written recommendations shall be based on the will of the majority of the PAC, they shall include an explanation of any material, unresolved concerns of individual members of the PAC and the groups they represent. The PAC shall return its recommendations within 60 days of receipt of the policy.

After receiving the recommendations of the PAC, the Responsible Party will consider the recommendations and make final changes to the policy and prepare a cover memorandum detailing the need for the new or revised policy and identifying the steps taken in developing the policy, including an explanation of the recommendations of the PAC and any changes made as a result of the PAC's recommendations. The Responsible Party will then provide the cover memorandum and the proposed policy to the Chancellor for approval, according to Section D. below or forwarding to the University of Wisconsin System's Board of Regents.

**D. Approval of UWM Policies**

Upon receipt of a proposed policy from the Faculty, Academic Staff or other Responsible Party, the Chancellor may consult with any individual or group he or she wishes prior to approving a proposed policy or when necessary forwarding it to the University of Wisconsin System's Board of Regents. The Chancellor may also reject<sup>1</sup> the policy or send it back to faculty and academic staff governance or the Responsible Party for further modifications and/or review by the PAC, if applicable. The Chancellor will take action on a proposed policy within 30 days of receipt.

A proposed policy shall not become effective until approved by the Chancellor or, where necessary, the University of Wisconsin System or Board of Regents.

**E. Publication and Distribution of UWM Policies**

Once approved by the Chancellor and, if necessary, the Board of Regents, the Chancellor's office shall provide the approved policy to the Secretary of the University for posting on the Policies and Procedures section of the UWM website. In addition, the Secretary of the University shall provide the university community notice of and information about the policy in the manner calculated to best inform the campus.

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<sup>1</sup>Note that under the UWM (Faculty) Policies & Procedures, Section 1.09 and the UWM Academic Staff Personnel Policies and Procedures, chapter 102.3, formal actions taken by the University Faculty or Academic Staff or their Senates become University policy to be implemented by appropriate authorities within thirty (30) days after they have been transmitted to the Chancellor. The Chancellor may delay implementation beyond the 30 day period by notifying the University Committee or Academic Staff Committee, within that period, of his/her intention and the reasons therefore.

## **F. Policy Form and Content**

UWM policies must follow a standard template. A copy of the template is posted on-line at <http://www4.uwm.edu/secu/policies.html>. The first page of each UWM policy shall contain the University's seal.

To the extent practicable, UWM policies should contain the following information:

- Purpose – description of the rationale behind development of the policy and/or particular problems or issues the policy is intended to address.
- Policy – a brief description of the essence of the policy and to whom it applies, with any exclusions listed.
- Authority – the legal (e.g. statute or regulation) or other (e.g. policy) authority pursuant to which the policy is being issued.
- Initiator – see definition above.
- Responsible Party – see definition above.
- History – the original effective date and dates of any revisions (substantive changes to the policy) or updates (minor corrections of non-substantive information).
- Definitions – of any important or frequently used terms.
- Procedures – see definition above.
- Contact Information – refers readers to the Responsible Party or other university staff for questions about the policy.
- Forms – any forms useful for implementation of the policy.

UWM policies should be brief and easy to read. Each policy should take into account the following:

- Legal and ethical implications;
- Fiscal implications;
- Personnel or human resources issues;
- Simplicity in technical explanations;
- Cross reference of related, or companion, policies;
- Identification of an appropriate reference for questions and clarification;
- Reference to a department Web site as appropriate; and
- State, Board of Regents and UW-System regulations and policies.

## **G. Interim Policies**

The Chancellor or, in the Chancellor's absence, the Provost, may sign into effect, waive, or temporarily alter any policy in a situation where there is an extraordinary need or emergency requiring that a university policy be

established, revised, or revoked in a period too short to permit the completion of the process outlined in this policy. Interim policies which constitute an alteration of existing policies which fall under the governance bodies must obtain the approval of the University Committee and Academic Staff Committee prior to their implementation. In that event, as soon as possible thereafter, the Chancellor shall initiate the process for development and approval of a permanent policy addressing the same subject. Any policy created or revised under this section shall be clearly labeled as “interim” and shall remain in effect until the earlier of 120 days or adoption of a new policy or modification of an existing policy pursuant to the review and approval process detailed above. In the meantime, the interim policy shall be considered to be an official policy of UWM.

#### **H. Regular Policy Review, Revision and Elimination**

The Responsible Party for or the appropriate office having authority to implement each policy shall review and update that policy, or propose its elimination, as necessary but no less frequently than every three (3) years. Revisions to or elimination of existing policies shall be processed and approved in the same manner as are new policies. Annually, the Office Secretary of the University will notify Responsible Parties of policies requiring review and updating, and will monitor progress to ensure compliance.

#### **I. Archiving Policies**

The Secretary of the University shall be responsible for maintaining in its permanent records, in perpetuity, a copy of each new UWM policy and each amendment thereto, as well as records pertaining to the revocation or elimination of each policy.

#### **V. Contact Information**

Questions regarding the interpretation of this policy should be directed to:

Secretary of the University  
Telephone: 414-229-5988  
Email: [secofunv@uwm.edu](mailto:secofunv@uwm.edu)



## APPENDIX A: SCHEDULE OF POLICIES<sup>2</sup>

### 1. Academic Policies

Shall be numbered AC-001, AC-002 et seq.

### 2. Academic Staff Policies

- a. Academic Staff Policies and Procedures shall be numbered AS-PP-101, AS-PP-102, et seq.
- b. Academic Staff Documents shall be numbered AS-DO-001, 002, et seq.

### 3. Business and Finance Policies

Shall be numbered FB-001, FB-002 et seq.

### 4. Development Policies

Shall be numbered DE-001, DE-002 et seq.

### 5. Facilities Policies

Shall be numbered FA-001, FA-002 et seq.

### 6. Faculty Policies

- a. UWM (Faculty) Policies & Procedures shall be numbered FAC-PP-1.0, FAC-PP-2.0 et seq.
- b. Faculty Documents shall be numbered FAC-DO-001, 002, et seq.
- c. College Policies & Procedures shall be numbered FAC-CO-001, 002, et seq.
- d. Departmental Policies & Procedures shall be numbered FAC-DE-001, 002, et seq.

### 7. Human Resources Policies

Shall be numbered HR-001, HR-002 et seq.

### 8. Information Technology Policies

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<sup>2</sup> The precise numbering system is still under consideration; this is attached as an example only.

Shall be numbered IT-001, IT-002 et seq.

**9. Miscellaneous Administrative Policies**

Shall be numbered MA-001, MA-002 et seq.

**10. Records and Meetings Policies**

Shall be numbered RM-001, RM-002 et seq.

**11. Research Policies**

Shall be numbered RE-001, RE-002 et seq.

**12. Student Affairs Policies**

Shall be numbered SA-001, SA-002 et seq.

**13. University Relations Policies**

Shall be numbered UR-001, UR-002, et seq.

## UWM Policy and Procedures APPROVAL FLOWCHART

