Development of "Regulation" Definitions, Templates, and an Implementation Plan

Submitted by Nancy Kay Peterson on behalf of the Policies & Procedures Task Force – 5/15/14

Definitions:

In spring 2014 a university-wide Task Force was appointed to review and make recommendations on redefining WSU "regulations." Based upon research on definitions of terms, review of MnSCU policies and procedures, other state universities' policies and procedures, and selected campus policies and procedures nationwide, the Task Force determined the term "regulations" was a misnomer and that current WSU "regulations" should be reviewed and re-written in a policies and procedures format similar to that used by MnSCU. The following definitions were adopted:

> **Policies are institutional statements of values and beliefs which establish guiding principles that give direction to the university and its members.**   Policies answer the questions of "what or "why." They are broad in scope. Content often includes definitions of terms and cites an authoritative reference. Format often consists of declaratory sentences in a narrative format. Complicated policies covering alternative situations may require more than one procedure. High-level policies, as statements of value or belief, may not require a procedure.

> **Procedures describe the series of steps to be taken to implement a policy or accomplish an objective.** Procedures answer the questions of "how," "who" and "when." They provide detailed, step-by-step instructions on a course of action to be followed. Content often specifies criteria or eligibility requirements and provides forms. An outline format may be appropriate. Low-level procedures describing day-to-day operations may not stem from a formal policy.

Review Process:

A WSU web search yielded the following results: 8,300 for policy, 5,000 for policies, 1,400 for procedure and 5,500 for procedures. Clearly, a Task Force review of all those "hits" was not feasible in the scope of less than a semester. The group focused on current "regulations" and divided into sub-groups to use the following matrix to determine if a current "regulation" was a policy vs. a procedure or both or neither.

WSU		POLICY				PROCEDURE			
What it calls itself		Vision/ belief / value	WHAT WHY	Defines terms	Cites authority		Process/ Step-by-step outline	HOW WHEN WHO	Contains criteria/ eligibility reqs	Includes forms

A chart identifying which "regulations" should be re-written as policies and/or procedures is attached.

Template:

WSU "regulations" were written at different times by different authors resulting in inconsistency in formats and information provided. Current "regulations" do not identify the authors, do not identify who can respond to questions about the documents, nor identify who is responsible for making timely updates.

"Regulations" are sent through every constituency group for approval, a time-consuming process. Obviously, policies and procedures addressing issues that contractually require collective bargaining units' review must go through the formal Meet & Confer process. Additionally, those regulations that impact individuals in multiple units should be reviewed by all those involved. (For instance, Regulation 3-26 on Academic Program Review is in the FA purview, but refers to the

Office of Institutional Research which includes employees in ASF and MAPE). The Task Force believes when a "regulation" is contract specific (for example, Faculty Promotion Regulation 3-13 and the ASF Special Initiative Award Regulation 3-36), only members in those bargaining units need to review proposed changes. The Task Force also believes that issues such as Printing Procedures (Reg. 2-11), Copy Machine Policy (Reg. 2-14), and Testing Procedures (Regulation 4-3) do not require formal meet & confer review and approval. They could be distributed for information only purposes with constituency groups retaining the right to comment if the unit determines it impacts their "conditions of employment subject to negotiations."

The Policies & Procedures template below addresses formatting, responsibilities, dissemination and review issues.

Winona State University

Number:

Title: *(Keep it brief. Do not use the words policy, procedures or guidelines in the title.)*

		Future review required:
Policy: ☐	Responsible Cabinet Member: Click here to enter text.	
Procedure: ☐		IFO: ☐
	Custodial Office: Click here to enter text.	ASF: ☐
New: ☐		AFSCME: ☐
Revised: ☐	Next review date: Click here to enter text.	MAPE: ☐
Deletion: ☐		Students: ☐
Dissemination:	Sent to: Click here to enter text.	Info Only: ☐

(For policies)
PURPOSE: (*Briefly explain why this policy is needed or what concern it addresses, and to who or to what the policy applies.*)

(For procedures)
PURPOSE: *(Identify the policy implemented by this procedure or briefly explain the intent of the procedure.)*

DEFINITIONS: (*Provide an alphabetical list defining special terms unique to the policy.*)

ELIGIBILITY, CRITERIA OR LIMITATIONS: (*List special requirements, if appropriate.*)

PROCEDURE: (*Outline of actions to be taken by whom in the order they would occur.*)

RECORDKEEPING REQUIREMENTS: (*Describe any records to be kept for how long.*)

_____   _____

Signature   Date of approval:

HISTORY:
Authoritative References:
Related References:
Initial approval:
Revision dates:
Forms:

<u>Implementation Plan:</u>

In summary, the Task Force recommends that it continue its work through the next academic year. It will direct the following activities:

1. Cabinet member offices responsible for current "regulations" will be identified and assigned the task of referring those documents to the custodial offices responsible for maintenance.

2. Current regulations will be re-written as policies and procedures as defined in this report and as identified in the attached chart. (Minor corrections and necessary updates should be made, but this should be a process of format conversion, not comprehensive re-writing.)

3. Re-formatted policies and regulations will be reviewed by the Task Force for consistency and sent to all constituency groups for approval of the plans for future reviews.

4. In the future, new policies and procedures will conform to the new template format and initially will be sent to all constituency groups for approval.

5. Constituency groups will be charged with completing review of proposed policies and procedures within 30 business days. If a constituency group does not respond at that time, approval will be presumed and the policies and procedures will go into effect.

6. The WSU Home Page should have a link to a Policies and Procedures page which will provide access to internal and external policies.

7. Maintaining and coordinating the timely revisions and dissemination of official university policies and procedures should be assigned to a permanent position as an ongoing part of the position's responsibilities. (At one time, revising the Grants & Sponsored Projects Director's position description to one of Compliance, Grants & Contracts was under consideration, but no recommendation on doing so has gone forward.)

The Task Force also recommends that a University-wide Policies & Procedures Advisory Committee be established to continue the work the Task Force has begun. The Committee charge is as follows:

Policies & Procedures Committee – Advisory

A. Committee Charge:

1. Identify existing policies and procedures that have been established across campus and determine which should be part of the university's formal policies and procedures.
2. Monitor and assure future revisions and publication of policies and procedures are carried out in a timely manner.
3. Review all new and revised policies and procedures for consistency prior to forwarding to constituency groups for approval. (Revised policies will go to previously identified units for review; new policies and procedures will go to all constituency groups for approval of proposed future routing.)
4. Establish the numbering system and assign numbers to policies and procedures in a format similar to that of MnSCU's.
5. Create a centralized database driven policies and procedures repository that can facilitate their approval and administration processes.
6. Determine which policies should be posted on the Internet for internal vs. external audiences and publicize their publication.

B. The individual holding the position permanently assigned the responsibilities for maintaining and coordinating the timely revisions and dissemination of official university policies and procedures will serve as Chair.

C. Terms of Office will be 3 years with members appointed on a rotating basis so that no more than one-third of the members will be new appointees in any given year.

D. The Administration or Chair will call the first meeting.

E. Composition: 3 IFO, 2 ASF, 1 AFSCME, 1 MAPE, 1 Council of Administrators, 2 Student (one graduate student, if possible), (Ex-Officio: Provost or designee, Vice President for Student Life & Development or designee, Director of Human Resources or designee, Director of Legal Affairs, Individual assigned permanent responsibility for maintaining Policies and Procedures.)

Conclusion:

To initiate the Task Force recommendations, Regulation 1-1 has been re-written as Policy 1-1 -- University Policy & Procedures Codification System and Procedure 1-1.A -- Policies & Procedures Process to reflect the proposed changes. Regulation 1-2 -- Mission & Vision Statement has also been re-formatted as an example. These documents are appended to this report and should be distributed in fall 2015 to all constituency groups for their consideration.

Appendices:

Policies & Procedures Task Force Recommendations – 5/14/14
Policy 1-1 – University Policy & Procedures Codification System
Procedure 1-1A – Policies & Procedures Process
Policy 1-2 – Mission and Vision Statement

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	Should be…	Office	Review	Notes
ADMINISTRATION				
1-1: University Regulations And Codification System	Policy & Procedure	Legal		
1-2: Mission And Vision Statement	Policy	President		
1-3: Administrative And Staff Organization	Neither			Remove
ADMINISTRATIVE AFFAIRS				
2-1: Repealed				
2-2: Travel Request Procedures	Procedure	Business Office		Add policy
2-4: Student Fee Management Committee	Procedure	SLD		Add policy
2-5: Repealed				
2-6: Maintenance Requests and Requisitions for Building Alterations	Procedure	Facilities & Finance		Add policy
2-7: Chargeback System of Service Units	Procedure	Business Office		Add policy
2-8: Guidelines and Policies Related to Grants and Sponsored Projects	Policy & Procedure	Academic Affairs		
2-9: Repealed				
2-10: Purchasing	Procedure	Business Office		Add policy
2-11: Printing Procedures	Procedure	Business Office		Add policy
2-12: Space Assignment/Utilization Academic Buildings	Procedure	Finance & Facilities		Add policy; out-of-date
2-13: Naming of University Building or Other Facility	Policy & Procedure	University Advancemt		
2-14: Copy Machine Policy	Policy	Business Office		Combine with 2-11 printing reg
2-15: Fire/Emergency Evacuation Procedure for Academic Buildings	Procedure	Safety Office		Add policy
2-16: Repealed				
2-17: Safety Manual	Policy	Safety Office		
2-18: Parking and Traffic Regulations	Policy and Procedure	Security		
2-19: Building Key and Building Security Policy and Procedures	Procedure	Security		Should be procedure in campus security policy
2-20: Now 7-1				
2-21: Asset Management	Procedure	Business Office		Add policy
ACADEMIC AFFAIRS				
3-1: Procedures for Acquisition of Library and Audiovisual Materials	Procedure	Library	All	Needs update

	Should be…	Office	Review	Notes
3-2: Credit Workshop Policy Guide	Policy & Procedure		All	Needs form link; Also see 3-24
3-3: Non-Credit and CEU Offerings: Development and Funding of Non-Credit and Continuing Education Unit	Policy & Procedure	OCED	All	
3-4: Policy for Changing the Curriculum	Policy and Procedure	IFO	All	
3-5: Tuition/Fee Waiver	Procedure	Business Office	All	Needs update
3-6: Now 7-2				
3-7: Policies and Procedures for the Use of Human Subjects in Research	Policy & Procedure	Legal	All	
3-8: Now 3-30				
3-9: Access to and Privacy of Student Education Records	Policy & Procedure	Registrar	All	Needs policy added
3-10: Procedures for Hiring Graduate Assistants	Policy & Procedure	Student Employment	All	
3-11: Distribution of Professional Improvement Funds (IFO)	Procedure	IFO	IFO Review only	Needs update
3-12: Sabbatical Leave (IFO)	Procedure	IFO	IFO Review only	
3-13: Faculty Promotions (IFO)	Procedure	Academic Affairs	IFO Review only	
3-14: Professional Development Report (IFO)	Procedure	Academic Affairs	IFO Review only	
3-15: Renewal/Non-renewal/Tenure: Probationary Faculty/Non-Tenure Track Faculty and Evaluation of Fixed Term Faculty	Procedure	Academic Affairs	IFO Review only	
3-16: Distribution of Professional Improvement Funds (Administrative Service Faculty - MSUAASF)	Procedure	ASF	ASF Review only	
3-17: Sabbatical Leave (Administrative Service Faculty - MSUAASF)	Procedure	ASF	ASF Review only	
3-18: Appointment of Graduate Faculty	Policy & Procedure	Academic Affairs	All	
3-19: Course Program Banking Policy	Procedure	Academic Affairs	IFO Review only	Needs Update
3-20: Approval of 400G Courses	Policy and Procedure	Academic Affairs	IFO Review only	
3-22: Grant Policy for Undergraduate Student Research and Creative Projects	Policy & Procedure	Academic Affairs	All	
3-23: Granting of Honorary Doctorate Degrees	Policy & Procedure	Academic Affairs	All	
3-24: Graduate Policy for Offering New Courses & Workshops	Delete	Academic Affairs	All	Put in 3-2
3-25: Travel Support for Undergraduate Research and Creative Presentations	Policy & Procedure	Academic Affairs	All	
3-26: Academic Program Review	Policy & Procedure	Academic Affairs	All	

	Should be…	Office	Review	Notes
3-27: Policies and Procedures for Dealing with Allegations of Research Misconduct	Policy & Procedure	Legal	All	
3-28: Conflicts of Significant Financial Interests Policy as Related to Grants and Sponsored Research Projects	Policy & Procedure	Legal	All	
3-29: Syllabus Policy	Policy & Procedure	Academic Affairs	All	
3-30: Student Academic Appeals	Procedure	Academic Affairs	All	
3-31: Posthumous Degree	Procedure	Academic Affairs	All	
3-32: Assurance of Compliance (IACUC)	Policy & Procedure	Legal	All	
3-33: ????				
3-34: Travel Study Programs	Policy and Procedre	Acad	All	
3-35: ????				
3-36: Special Initiative Awards (SIA) Policy and Procedure for ASF	Policy & Procedure	ASF	ASF Review only	
STUDENT LIFE AND DEVELOPMENT				
4-1: Student Employment	Policy & Procedure	Student Employment	All	Out-of-date
4-2: Student Grievance Procedure	Policy & Procedure	SLD	All	
4-3: Testing Procedures	Not applicable			Remove
4-4: Use of University Space/Facilities	Policy & Procedure	Facilities & Finance	All	Out-of-date
4-5: Student Death Protocol	Procedure	SLD	All	
4-6: Medical Amnesty Policy	Policy & Procedure	SLD	All	
HUMAN RESOURCES				
5-1: Emeritus/Retired with Distinction	Procedure	HR	IFO & ASF	
5-2: Procedures for Affirmative Action Recruiting and Hiring	Policy & Procedure	AAO	All	Add 1B.4 ref
5-4: Managerial/Administrative Service Faculty (ASF) Development Plans	Procedure	HR	ASF Review only	Out-of-date
5-6: University Recognition Program	Procedure	HR	All	
5-8: Flextime Policy	Policy & Procedure	HR	All	
5-9: Excused Absence for Unclassified Employees	Procedure	HR	IFO & ASF	Out-of-date
5-10: Training Policy for Classified Employees	Procedure	HR	AFSCME, MAPE, MMA & MNA only	
5-11: Distribution of Achievement Awards for Classified Employees	Procedure	HR	AFSCME, MAPE, MMA & MNA only	

	Should be…	Office	Review	Notes
5-13: Closing of the University or Cancellation of Classes or Activities Due to Inclement Weather or Other Emergencies	Policy & Procedure	HR & Facilities and Finance	All	Should say 1 state AND 1 local per MnSCU
5-14: Repealed				
5-15: AFSCME Position Description Appeal Process	Procedure	HR	AFSCME	
5-16: Policy Statement On and Plan to Prevent Workplace Violence	Policy & Procedure	HR and Legal	All	
UNIVERSITY ADVANCEMENT				
6-1: Gift Processing and Scholarship Procedure	Procedure	University Advancemt		Add Policy
6-2: Fund Raising and Solicitation Procedure	Policy & Procedure	University Advancemt		
6-3: Public Information Office Services	Neither			Remove
6-4: Alumni Affairs	Neither			Remove
INFORMATION TECHNOLOGY SERVICES				
7-1: Personal Use of University Equipment and/or Services by Employees	Policy & Procedure	IT		
7-2: Academic Computer Software Policy				Remove; Out-of-date
7-3: Acceptable Use of Computers and IT Resources	Policy	IT		Combine with 7-1
7-4: User Administration	Policy & Procedure	IT		Split in 2 & expand
MISCELLANEOUS				
8-1: Public Service Policy	Procedure	Facilities & Finance		
8-2: The Watkins Collection				Remove; out-of-date
8-3: Smoking/Smokeless Tobacco Usage Policy	Policy	President		
8-4: Drug and Alcohol Abuse Policy	Policy	HR		

Winona State University

Number: Policy 1-1

Title: University Policy & Procedures Codification System

Policy: ☒	Responsible Cabinet Member: Provost/VP for Academic Affairs	Future review required:	
Procedure: ☐		IFO:	☐
	Custodial Office: Compliance, Grants & Contracts	ASF:	☐
New: ☐		AFSCME: ☐	
Revised:☒	Next review date: 7/1/2019	MAPE:	☐
Deletion:☐		Students: ☐	
Dissemination:	Sent to: All constituencies	Info Only: ☒	

PURPOSE: Policies & Procedures are established for the internal operation of WSU under the authority delegated by the Minnesota State Colleges and Universities. These documents are adopted by the President to facilitate the routine and continuing functions of the University and to implement the governing rules, internal rules, system policies, state statutes, state agency rules, and collective bargaining agreements. This Policy establishes a consistent numbering system to identify Winona State University Policies & Procedures. It applies to all policies and procedures created by WSU employees and students.

DEFINITIONS: The following definitions apply:

Policies: Policies are institutional statements of values and beliefs which establish guiding principles that give direction to the university and its members.

Procedures: Procedures describe the series of steps to be taken to implement a policy or accomplish an objective.

NUMBERING SYSTEM: Each Policy will have a series number and an index number. In Policy 1-1, for example, the first number (1) is the series number which identifies the subject area and the number following the hyphen (-1) is the index number within the series. Procedures implementing specific policies will refer to the policy being implemented and will have an upper case alphabetical designation. In Procedure 1-1.A, 1-1 refers to the policy being implemented and A is the alphabetical designation. Internal procedures not related to a specific policy will begin with a P, have a series number, and a lower case alphabetical designations. Procedure P2.a, for example, would relate to an Internal Procedure (P) in Administrative Affairs (series number 2) with the alphabetical designation (a).

Series numbers are assigned to the subject areas as follows:

1 – All University
2 – Finance & Administration
3 – Academic Affairs
4 – Student Life and Development
5 – Human Resources
6 – University Advancement
7 – Information Technology
8 – Miscellaneous

_____   _____
Signature   Date of approval:

Winona State University

Number: Procedure 1-1.A

Title: Policies & Procedures Process

Policy: ☐	Responsible Cabinet Member: Provost/VP for Academic Affairs	Future review required:
Procedure: ☒		IFO: ☒
	Custodial Office: Compliance, Grants & Contracts	ASF: ☒
New: ☐		AFSCME: ☒
Revised:☒	Next review date: 7/1/2019	MAPE: ☒
Deletion:☐		Students: ☒
Dissemination:	Sent to: All constituencies	Info Only: ☐

PURPOSE: This Procedure implements Policy 1-1, University Policies & Procedures System, and establishes the process for development, review and dissemination of all WSU Policies and Procedures.

DEFINITIONS:
All-University Policies & Procedures Committee: The standing committee responsible for monitoring development and revision of all university policies and procedures.

Custodial Office: The Office and/or position responsible for writing, revising and administering a policy or procedure.

Office of Compliance, Grants & Contracts: The Office responsible for maintaining and coordinating the timely revisions and dissemination of official university policies and procedures.

Policies: Policies are institutional statements of values and beliefs which establish guiding principles that give direction to the university and its members.

Procedures: Procedures describe the series of steps to be taken to implement a policy or accomplish an objective.

Responsible Cabinet Member: The Cabinet Member directing the activities of the Custodial Office and/or its supervisor.

PROCEDURE:

1. Policies and Procedures will be developed and/or revised using the template format appended to this Procedure. The Responsible Cabinet Member will submit the draft to the All-University Policies and Procedures Committee to be assigned a number, if needed, and to be reviewed for format consistency.

2. Within 10 business days, the Committee will respond to the Vice President if revisions are needed or will submit the draft to the WSU President. The President will distribute new policies and procedures by email to the Presidents of all constituency groups. Revised policies and procedures will be distributed by email to the Presidents of those constituency groups identified in the policy or procedure as requiring future review.

3. Constituency groups will complete review of new or revised policies or procedures and respond to the WSU President within 30 business days of receipt of the documents. If a constituency group does not respond within 30 business days of receipt of a new or revised policy or procedure, approval will be presumed.

4. The President will review responses, determine if changes are needed, if subsequent re-review is needed, and/or approve the policy or procedure and submit it to the Office of Compliance, Grants & Contracts for dissemination.

RECORDKEEPING REQUIREMENTS:

The Office of Compliance, Grants & Contracts will record dissemination information and the initial approval date or revision date in the appropriate spaces on the policy and procedure template and post the document to the appropriate web site.

_____   _____
Signature   Date of approval:

HISTORY:
Authoritative References: MnSCU Policy 1A.1
Related References: WSU Policy 1-1.
Initial approval: 7/1/14
Revision dates:
Forms: Policies and Procedures Template

Winona State University

Number:

Title: *(Keep it brief. Do not use the words policy, procedures or guidelines in the title.)*

Policy: ☐	Responsible Cabinet Member: Click here to enter text.	Future review required:
Procedure: ☐		IFO: ☐
	Custodial Office: Click here to enter text.	ASF: ☐
New: ☐		AFSCME: ☐
Revised:☐	Next review date: Click here to enter text.	MAPE: ☐
Deletion:☐		Students: ☐
Dissemination:	Sent to: Click here to enter text.	Info Only: ☐

(For policies)
PURPOSE: (*Briefly explain why this policy is needed or what concern it addresses, and to who or to what the policy applies.*)

(For procedures)
PURPOSE: *(Identify the policy implemented by this procedure or briefly explain the intent of the procedure.)*

DEFINITIONS: (*Provide an alphabetical list defining special terms unique to the policy.*)

ELIGIBILITY, CRITERIA OR LIMITATIONS: (*List special requirements, if appropriate.*)

PROCEDURE: (*Outline of actions to be taken by whom in the order they would occur.*)

RECORDKEEPING REQUIREMENTS: (*Describe any records to be kept for how long.*)
_____   _____
Signature   Date of approval:

HISTORY:
Authoritative References:
Related References:
Initial approval:
Revision dates:
Forms:

Winona State University

Number: Policy 1-2

Title: Mission and Vision Statement

Policy: ☒	Responsible Cabinet Member: President	Future review required:	
Procedure: ☐		IFO:	☒
	Custodial Office: President	ASF:	☒
New: ☐		AFSCME: ☒	
Revised: ☒	Next review date: 3/15/21	MAPE:	☒
Deletion: ☐		Students: ☒	
Dissemination:	Sent to: Click here to enter text.	Info Only: ☐	

PURPOSE: To state the mission and vision of Winona State University.

MISSION STATEMENT:

The mission of Winona State University is to enhance the intellectual, social, cultural, and economic vitality of the people and communities we serve.

We offer undergraduate programs based on the traditions and values of the arts and sciences and an array of graduate and professional programs that are especially responsive to the needs of the Upper Midwest.

We prepare our graduates to serve generously, lead responsibly, and respond imaginatively and creatively to the challenges of their work, their lives, and their communities.

Winona State University is a community of learners improving our world.

VISION STATEMENT:

Winona State University aspires to be known for academic excellence, our commitment to promoting the health and well-being of our community, and our success in making our university a model of environmental sustainability. We will be a wise steward of the distinctive environment in which we live, study, and work and the resources entrusted to our use. Our graduates will be involved, well-educated citizens who make a difference in the changing context of professional practice and community life.

_____   _____
Signature   Date of approval:

HISTORY:
Authoritative References: McSCU Policy 3.24: Institution Type and Mission, and System Mission\, and Procedure 3.24.1: Chancellor's Procedures and Guidelines for System and Institutional Missions
Related References: na

Initial approval: 9/28/81
Revision dates: 8/18/88, 1/20/99, 3/15/2011
Forms: na