



Procedure on: Policies and Procedures

**Purpose:**

To explain how policies and procedures are generally created, approved, and maintained.

**Procedure:**

1) Writing Policies and Procedures at WSU

All WSU Policy documents contain the following components:

1. Title. The Policy's title indicates its subject matter and differentiates it from all other university policies.
2. Unique Identifying Number. Each WSU Policy has a unique identifying number. Identifying numbers for policies consist of an Administrative Unit Number and a Policy Number.

The Administrative Unit Numbers refer to the following divisions of the University:

- 1: All University
- 2: Administrative Affairs
- 3: Academic Affairs
- 4: Student Life and Development
- 5: Human Resources
- 6: University Advancement
- 7: Information Technology Services
- 8: Miscellaneous

The Policy Number appears after the Administrative Unit Number. For example, for Policy 3.4, the '3' indicates that the policy pertains to academic affairs and the '4' is the number for the policy in question.

3. Statement of the Responsible Office and Responsible Officer. The Office and Officer who are responsible for the policy should be clearly indicated.
4. Statement of Purpose. The statement of purpose clearly explains the scope of the policy and indicates the issues to which it pertains. The Statement of Purpose is located under the heading 'Purpose.'
5. Statement of the Policy. The statement of the policy clearly communicates WSU's position on the issue(s) identified in the statement of purpose. If the policy imposes any rules (rights, obligations, conditions, or expectations) on WSU's faculty, students, or staff, then these rules must be clearly explained in the statement of the policy. The Statement of Policy is located under the heading 'Policy.'

6. Definitions. Any terms that are unique, confusing, or that are being used in ways that are specific to WSU should be clearly defined. Definitions are uncontroversial, short, and direct. They are designed in order to help readers understand the relevant policy, not to serve as a supplement to the policy. No statements of rules, rights, obligations, or expectations should appear in definitions. Terms that are adequately explained in other sections of the policy document or are common knowledge do not require their own definitions. The Definitions are located under the heading 'Definitions.'

7. Associated Procedure Document. Most policies are accompanied by an associated procedure or procedures. Procedures are separate documents that explain how a policy is generally implemented at WSU. The names and numbers of procedures associated with a specific policy are listed in the policy document under the heading 'Subsequent Procedures.' If a policy does not have an associated procedure, this is indicated under the same heading.

All WSU Procedure documents contain the following components:

1. Title. The Procedure's title indicates its subject matter, communicates its connection to a policy, and differentiates it from all other university procedures.

2. Unique Identifying Number. Since procedures derive their authority from policies, the Administrative Unit Number and Policy Number are the same as the parent policy. They are differentiated from the policy by letters that follow the number (e.g., one of the procedures that accompanies Policy 3.4 would be Procedure 3.4.A).

3. Statement of the Responsible Office and Responsible Officer. The Office and Officer who are responsible for the policy should be clearly indicated.

4. Statement of Purpose: The statement of purpose is a brief description of the institutional practices or processes that are detailed in the procedure. The Statement of Purpose is located under the heading 'Purpose.'

5. Statement of the Procedure: The statement of the procedure is a clear, helpful, detailed description of how a policy is generally implemented at WSU. Procedures are designed to be easily revised as the institution, its practices, and its technologies evolve over time. Procedures do not include statements of the rules, rights, or obligations of WSU's students, faculty, or staff. Rather, procedures provide the reader with any necessary 'how to' information regarding the implementation of a specific policy. Examples of procedural information include: outlines of steps that are generally required to accomplish a specific task at WSU; checklists of what has to be done in order to accomplish these tasks; explanations of how to complete relevant forms; information about relevant online tools; explanations of the roles of various offices as well as the contact information for those offices. The Statement of the Procedure is located under the heading 'Procedure.'

6. Definitions: Any terms that are unique, confusing, or that are being used in ways that are specific to WSU should be clearly defined. Definitions are uncontroversial, short, and direct. They are designed in order to help readers understand the relevant procedure, not to serve as a supplement to the procedure. Terms that are adequately explained in other sections of the procedure document or are common knowledge do not require their own definitions. The definitions are located under the heading 'Definitions.'

7. Associated Documents: Any other relevant associated documents are linked under this heading. Examples of associated documents are diagrams, guidelines, best practices, statutes or other relevant materials.

## 2) Policy and Procedure Approval Process

The steps for policy and procedure creation at Winona State University are as follows:

1. A stakeholder requests that a new policy or procedure be created. These requests are made to the All-University Policy Committee via the Policy Coordinator;
2. The All-University Policy Committee reviews the request and makes a recommendation to the Responsible Officer. This recommendation includes both an anonymized copy of the request from the stakeholder, as well as the Committee's opinion on whether or not a new policy/procedure should be created;
3. The Responsible Officer/Office drafts a new proposed policy/procedure and submits it to the All-University Policy Committee;
4. The All-University Policy Committee reviews the new proposed policy/procedure and determines whether or not it conforms to the standards laid out in WSU Policy 1.1 and WSU Procedure 1.1.A. The All-University Policy Committee only assesses new proposed policies based on their conformity to WSU Policy 1.1 and WSU Procedure 1.1.A. They do not provide feedback regarding the content or style of the policy/procedure (this type of feedback is generally provided during the stakeholder review). All new proposed policies/procedures that do conform to the standards laid out in WSU Policy 1.1 and WSU Procedure 1.1.A initiate the following actions by the All-University Policy Committee:
  - A: The assignment of a number to the proposed policy/procedure;
  - B: The identification of relevant stakeholders. When identifying relevant stakeholders, the All-University Policy Committee will consider which groups' interests are potentially impacted by the new policy/procedure. It will also ensure that all groups with a contractual right to review the new policy/procedure are identified as relevant stakeholders;
  - C: The creation of a timeline for stakeholder review. The recommended timeline for comment must be between 45 and 90 days. The specific timeline chosen by the committee should accommodate at least two readings at Faculty Senate and Student Senate. Stakeholders can request that the All-University Policy Committee extend the timeline;
5. The All-University Policy Committee then forwards the new proposed policy/procedure, a list of relevant stakeholders, and a recommended timeline to Cabinet and the Council of Administrators;
6. Cabinet and the Council of Administrators review the new proposed policy/procedure;

7. Once the revised policy/procedure is approved by Cabinet and the Council of Administrators, the administration circulates it to all relevant stakeholders. The Policy Coordinator tracks the distribution of the new proposed policy/procedure to the relevant stakeholders;
8. The relevant stakeholders are given time to comment on the new proposed policy/procedure. The 45-90 day timeline begins after the policy/procedure has been distributed to all of the relevant stakeholders;
9. The feedback from the relevant stakeholders is reported to the Responsible Officer/Office;
10. The Responsible Officer/Office finalizes the policy/procedure and writes responses to the feedback received from the relevant stakeholders. The finalized draft and responses are sent to the All-University Policy Committee;
11. The All-University Policy Committee oversees the creation of a feedback report. This report summarizes:
  - A: The feedback received from the stakeholders;
  - B: The Responsible Officer's responses to that feedback;
12. The finalized draft and the feedback report are forwarded to the University President;
13. The President either approves or rejects the proposed policy/procedure;
14. If approved by the President, the completed policy/procedure is circulated to all relevant stakeholders and made publicly available on the University website.

### 3) Maintenance and Revision of Policies/Procedures

Repeals of policies and procedures are treated as revisions. The procedure outlined below is used to review proposed repeals of policies and procedures.

Conversions of WSU Regulations to WSU Policies and Procedures are treated as revisions. The procedure outlined below is used to review WSU Regulations that have been converted to policies or procedures.

The steps for the maintenance and revision of policies/procedures at Winona State University are as follows:

1. Policies/procedures are opened for review when one of two things happen:
  - A: A relevant stakeholder requests that the All-University Policy Committee open the policy/procedure for review;
  - B: It has been five years or more since the policy/procedure was last reviewed;
2. When a policy/procedure is opened for review, the All-University Policy Committee contacts the Responsible Officer/Office and asks them to revise the policy/procedure;

3. The Responsible Officer/Office drafts a revised policy/procedure and submits it to the All-University Policy Committee (for repeals, the Responsible Officer/Office requests that the Regulation, Policy, or Procedure be repealed);
4. The All-University Policy Committee reviews the revised policy/procedure and determines whether or not it conforms to the standards laid out in WSU Policy 1.1 and WSU Procedure 1.1.A. The All-University Policy Committee only assesses revised policies based on their conformity to WSU Policy 1.1 and WSU Procedure 1.1.A. They do not provide feedback regarding the content or style of the policy/procedure (this type of feedback is generally provided by other stakeholders). All revised policies/procedures that do conform to the standards laid out in WSU Policy 1.1 and WSU Procedure 1.1.A initiate the following actions by the All-University Policy Committee:
  - A: The identification of relevant stakeholders. When identifying relevant stakeholders, the All-University Policy Committee will consider which groups' interests are potentially impacted by the revised policy/procedure. It will also ensure that all groups with a contractual right to review the revised policy/procedure are identified as relevant stakeholders;
  - B: The creation of a timeline for stakeholder review. The recommended timeline for comment must be between 45 and 90 days. The specific timeline chosen by the committee should accommodate at least two readings at Faculty Senate and Student Senate. Stakeholders can request that the All-University Policy Committee extend the timeline;
5. The All-University Policy Committee then forwards the revised policy/procedure, a list of relevant stakeholders, and a recommended timeline to Cabinet and the Council of Administrators;
6. Cabinet and the Council of Administrators review the revised policy/procedure;
7. Once the revised policy/procedure is approved by Cabinet and the Council of Administrators, the administration circulates it to all relevant stakeholders. The Policy Coordinator tracks the distribution of the revised policy/procedure to the relevant stakeholders;
8. The relevant stakeholders are given time to comment on the revised proposed policy/procedure. The 45-90 day timeline begins after the policy/procedure has been distributed to all of the relevant stakeholders;
9. The feedback from the relevant stakeholders is sent to the Responsible Officer/Office;
10. The Responsible Officer/Office finalizes the revisions and writes responses to the feedback from the relevant stakeholders. The finalized draft as well as the responses are sent to the All-University Policy Committee;
11. The All-University Policy Committee oversees the creation of a feedback report. This report summarizes:
  - A: the feedback received from the stakeholders;
  - B: the Responsible Officer's responses to that feedback;
12. The finalized draft and the feedback report are forwarded to the University President;

13. The President either approves or rejects the revised policy/procedure;
14. If approved by the President, the revised policy/procedure is circulated to all relevant stakeholders and made publicly available on the University website.

#### 4) Policy/Procedure changes outside of this Cycle

The All-University Policy Committee only meets during the 9-month academic year. If a legal mandate requires a policy/procedure to be implemented or revised outside of the 9-month academic year, the following procedure will be used:

1. The All-University Policy Committee (or designee) will identify all relevant stakeholder groups, contact their leadership (when applicable), and inform them of the legally mandated change in policy/procedure;
2. The change in policy/procedure will be provisionally implemented;
3. At the start of the next 9-month academic year, the revised or new policy/procedure will be opened for a full review, as described in WSU Procedure 1.1.A.

**President's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Responsible Officer's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

#### Definitions:

**9-Month Academic Year:** The approximately 9-month period between the first day of Fall classes and Commencement Day.

**All-University Policy Committee:** A committee consisting of representatives from all bargaining units (IFO, ASF, MAPE, AFSCME, MMA), student senate, and the administration.

**Administration:** The offices and roles listed in WSU's '[Administrative Leadership](#)' webpage.

**Cabinet:** The individual administrators designated as members of Cabinet on WSU's '[Administrative Leadership](#)' webpage.

**Clarity:** Something is clear, in the context of this document, when it is unambiguous and relatively easy for its intended audience to understand. Different standards of clarity may be necessary for different audiences.

**Council of Administrators:** The individual administrators designated as members of the Council of Administrators on WSU's '[Administrative Leadership](#)' webpage.

**Faculty Senate:** The policy-making body of Winona State University's Faculty Association.

**Feedback Report:** A report summarizing the feedback received on a specific policy/procedure as well as the Responsible Officers' responses to that feedback. The creation of these reports is overseen by the All-University Policy Committee.

**Policy Coordinator:** A University employee who has been designated to facilitate the creation, review, and maintenance of policies at WSU.

**Relevant Stakeholder:** A stakeholder identified by the All-University Policy Committee as having an interest in the development and implementation of a university policy or procedure.

**Responsible Office:** An office of the Administration primarily responsible for developing, maintaining, and upholding a university policy and implementing a university procedure.

**Responsible Officer:** A role within a responsible office vested with the authority to uphold a university policy and implement a university procedure housed within that office.

**Student Senate:** The governing body of the Winona State University Student Association.

**University Policy:** A set of principles, positions, and rules having application throughout the university and intended to govern the actions of all employees, faculty, students, visitors, and others who come in contact with the university.

**University Procedure:** A clear explanation of how a policy is generally implemented at WSU.

### **Authorizing Policy:**

WSU Policy 1.1: Policy on Policies and Procedures

#### Policy History

**Date of Adoption:** Click or tap to enter a date.

**Date of Implementation:** Click or tap to enter a date.

**Date and Subject of Revisions:**

Date and Reason goes Here