



UWM POLICY ON THE CREATION OF SELECTED ACADEMIC & ADMINISTRATIVE POLICIES

No: SAAP 0-1

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

Date: _____ (Revised)
September 20, 2007 (Original)

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

Responsible Party: Secretary of the University

I. PURPOSE

This Policy establishes guidelines for the initiation, development, adoption, and publication of University of Wisconsin – Milwaukee (“UWM”) Selected Academic & Administrative Policies (SAAPs), and the modification or elimination of existing UWM SAAPs.

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 SAAPs.

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. Faculty and Academic Staff document routing is outlined in Appendices E & F.

II. POLICY

UWM SAAPs embody UWM’s intended course of action for its administrators, faculty, academic staff, university staff, other employees, students, visitors and others within the University community. UWM SAAPs 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 SAAPs.

A UWM SAAP 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 UWM 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;
- 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 UWM SAAPs.

III. DEFINITIONS

- **Academic Staff** – Professional and administrative personnel other than faculty and university staff with duties and types of appointments that are primarily associated with higher education institutions or their administration.
- **University 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 Initiator may be 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.
- **Policy** – guiding or governing principle(s), formally approved in accordance with this policy, to provide assistance in the conduct of university affairs, specifically Selected Academic and Administrative Policies.
- **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 university staff. Each of the following groups shall be invited to select a representative to serve on the **PAC**:
 - University Committee
 - Academic Staff Committee
 - University Staff Council
 - Division of Academic Affairs
 - Division of Finance & Administrative Affairs
 - Division of Student Affairs
 - Division of Global Inclusion and Engagement
 - 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. UWM SAAP Form and Content

UWM policies must follow a standard template. A copy of the template is posted online at https://apps.uwm.edu/secu-policies/storage/other/SAAP_Template.docx. The template is also included in Appendix A. The first page of each UWM SAAP shall contain the University’s seal.

To the extent practicable, UWM SAAPs 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 SAAPs 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 website as appropriate; and
- Federal, State, Board of Regents and UW System laws, regulations and policies.

V. PROCEDURES

A. **Initiation and Development of UWM Policies** (See Appendix B for the SAAP Approval Flowchart)

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

1. 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.

2. Responsible Party

The Responsible Party will oversee the creation of a draft of the proposed policy with appropriate input and consultation with various governance groups.

3. Circulation for Review

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 (Appendix C) under “Circulated to:” the names of individuals or groups that have reviewed and commented on the proposed policy or proposed changes to the policy.

4. Secretary of the University and Legal Affairs

After circulating a draft of the proposed policy to an informal group or reviewers, the Responsible Party will forward a draft of the proposed policy along with the policy transmittal form (Appendix C) 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. SAAP Review

1. Policy Advisory Committee (PAC)

After a proposed SAAP has been reviewed by the Secretary of the University's Office and the Office of Legal Affairs, the Secretary of the University's Office 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.

2. Responsible Party

After receiving any recommendations of the PAC, the Responsible Party will consider the recommendations and make final changes to the policy.

If the Responsible Party should choose to reject the PAC's recommendations, the Responsible Party will prepare a cover memorandum detailing the reason for the rejection.

The Responsible Party will then submit the final proposed policy to the Secretary of the University's Office for transmittal to the PAC.

The PAC will evaluate the proposed SAAP or revisions to an existing SAAP to determine if approval by faculty and staff governance committees is necessary or if the proposed SAAP or revisions should be sent to faculty and staff governance committees for information. The PAC will make their recommendation to the Secretary of the University.

3. Secretary of the University

As recommended by the PAC, if the policy has implications for faculty, academic staff, or university staff, as, the Secretary of the University's Office will forward the policy to the appropriate groups for consultation and/or approval – see Section V(B)(4) below.

As recommended by the PAC, if the policy does not have implications for the employee groups, the Secretary of the University's Office will submit the proposed policy to the Chancellor for approval, according to Section V (C) below, or forwarding to the University of Wisconsin System's Board of Regents.

4. Employee Governance

If the policy has implications for faculty, academic staff, or university staff, the Secretary of the University's Office will forward the policy to the appropriate governance committees for

consultation and/or approval. These committees will be given 30 days during the academic year to review the policy. After this 30-day review period, the Secretary of the University's Office will forward the policy to the Chancellor for approval. Upon request, one 30-day extension may be granted by the PAC.

Once these groups have reviewed the policy, the PAC will review any recommendations or changes in consultation with the Responsible Party. The PAC will then submit the final policy to the Secretary of the University's Office.

C. Approval of UWM Policies

Upon receipt of a proposed policy from the Secretary of the University's Office, the Chancellor may consult with any individual or group 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 reject¹ the policy or send it back to the faculty, academic staff, or university staff governance committees 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.

D. 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's Office for posting on the Policies and Procedures section of the UWM Secretary of the University's 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.

E. 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 requiring consultation or approval by the employee governance committees must obtain the approval of the University Committee, Academic Staff Committee, and University Staff Council prior to their implementation. As soon as practicable thereafter and assuming an ongoing need for the policy, 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

¹Note 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.

interim policy shall be considered to be an official policy of UWM. An interim policy may be extended, upon consultation with the employee governance committees, for 120 days.

F. Regular Policy Review

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 five (5) years. Revisions to 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.

G. Policy Elimination

1. Initiation and Proposal to Eliminate Policy

Any member of the university community wishing to propose the elimination of an existing SAAP must communicate the proposal to eliminate to an appropriate Initiator.

a. Initiator

Once the Initiator agrees to formally initiate the elimination of an existing policy, the Initiator will forward the proposal to an appropriate Responsible Party.

b. Responsible Party

The Responsible Party will review the policy to determine if it remains applicable. The Responsible Party will decide to accept or reject the proposal to eliminate the policy. If the Responsible Party decides to accept the proposal, the Responsible Party will submit the proposal to eliminate the Secretary of the University with written rationale.

c. Secretary of the University and Legal Affairs

The Secretary of the University shall, in consultation with the Office of Legal Affairs, review the recommended elimination to identify any legal implications of the proposed elimination and consistency with laws or external regulations germane to the policy.

The Secretary of the University's Office will then forward the proposed elimination to the campus PAC.

2. Elimination Review

a. Policy Advisory Committee

The PAC will consider the merits of eliminating 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 proposal to eliminate from the groups they represent.

The PAC may recommend that the policy be repealed or recommend against repealing the policy.

Once the PAC has reviewed the proposal to eliminate, it will submit its decision to the Secretary of the University.

b. Secretary of the University

The faculty, academic staff, and university staff governance committees will be notified with rationale for the elimination clearly stated via automatic consent. The faculty, academic staff, and university staff will have thirty (30) days to respond to the proposal.

The Secretary of the University will submit the proposal to eliminate to the Chancellor. This process is detailed in the flowchart in Appendix D.

3. Approval of Elimination

Upon receipt of a proposed elimination from the Secretary of the University's Office, the Chancellor may consult with any individual or group he or she wishes prior to approving or, when necessary, forwarding it to the University of Wisconsin System's Board of Regents. The Chancellor may also reject² the elimination or send it back to the faculty, academic staff or university staff governance committees or the Responsible Party for further modifications and/or review by the PAC, if applicable. The Chancellor will take action on a proposed elimination within 30 days of receipt.

After the elimination of a policy is approved by the Chancellor, it will be removed from the Policies and Procedures section of the Secretary of the University's website

H. Archiving Policies

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

VI. 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

²Note 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.

APPENDIX A: SAAP Template



POLICY TITLE

No: _____

Authority:

Date: _____

Initiator:

Responsible Party:

I. Purpose

II. Policy

III. Definitions

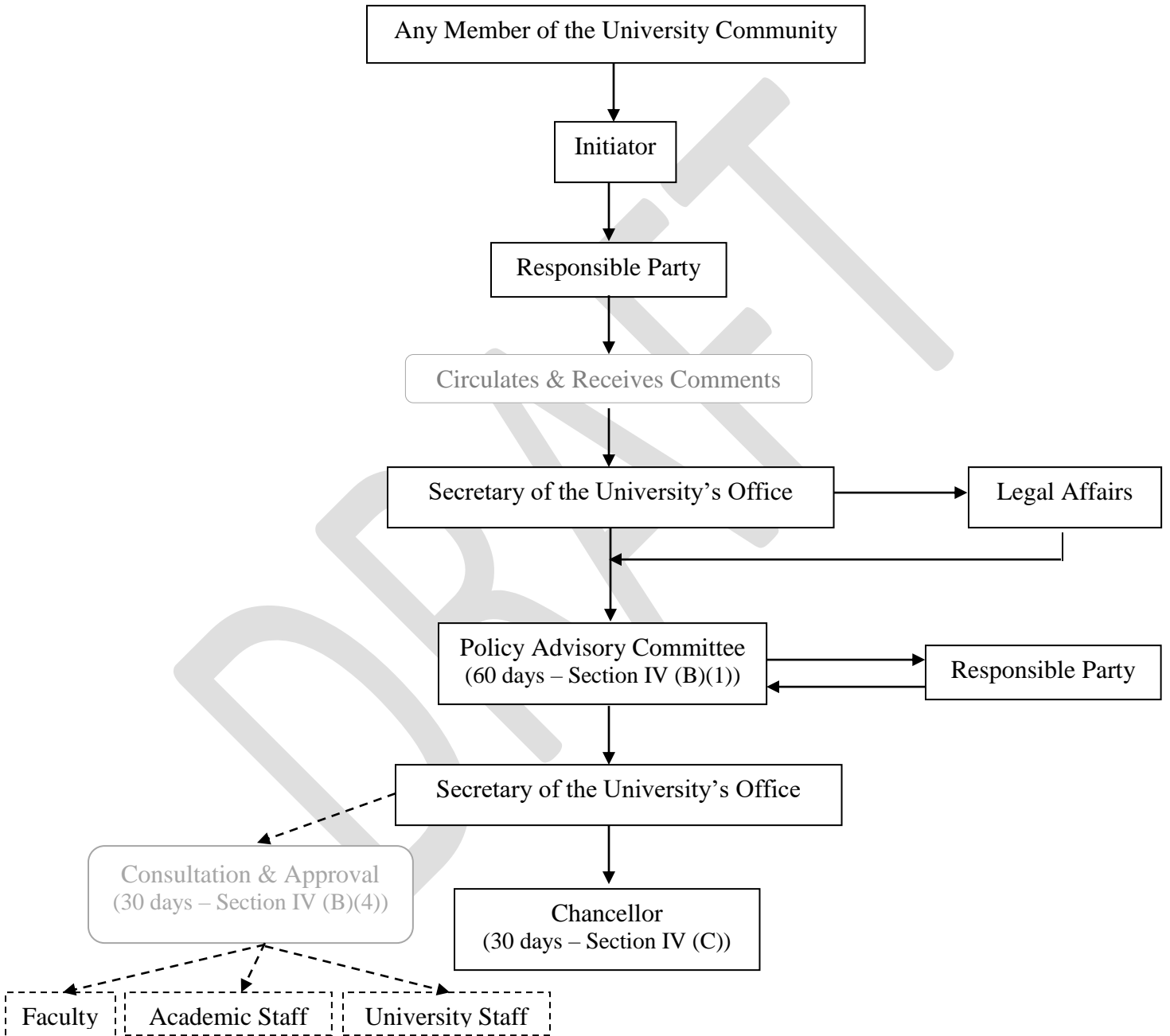
IV. Procedures

V. Contact Information

VI. Forms

DRAFT

APPENDIX B: SAAP Approval Flowchart



APPENDIX C: SAAP Transmittal Form



Selected Academic & Administrative Policy Transmittal Form

To: Chancellor Mark Mone

The following SAAP has been reviewed and is presented for your consideration:

Policy Name:
Policy Number: _____ Date: _____
Authority:
Initiator:
Responsible Party:
Circulated to:

	Date Review Completed	Changes Suggested? (circle one)
Transmitted to Secretary of the University		Y / N
Office of Legal Affairs		Y / N
Return to Responsible Party (if changes suggested)		Y / N
Policy Advisory Committee		Y / N
Faculty Senate (as needed)		Y / N
Academic Staff Senate (as needed)		Y / N
University Staff Senate (as needed)		Y / N
Return to Policy Advisory Committee (as needed)		Y / N
Provost: Approved <input type="checkbox"/> Disapproved <input type="checkbox"/> Deferred <input type="checkbox"/> X _____		Y / N
Chancellor: Approved <input type="checkbox"/> Disapproved <input type="checkbox"/> Deferred <input type="checkbox"/> X _____		Y / N
Regents (as needed)		Y / N
System (as needed)		Y / N
Return to Secretary of the University		Y / N

Reviewers: Please attach your comments on a separate page.