

University of Houston Clear Lake

MEMORANDUM OF ADMINISTRATIVE POLICY

SECTION: General Administration
AREA: Administrative Guide

Number: MAP 01.A.01

SUBJECT: Administrative Policy Creation, Revision and Retirement Procedures

I. PURPOSE AND SCOPE

This policy establishes the guidelines for developing, approving, revising, publishing, and retiring all University of Houston- Clear Lake (UHCL) policies, known as Memorandum of Administration Policies (MAPs). UHCL administrative and business operations are subject to federal, State of Texas, University of Houston System Board of Regents, and University of Houston System policies and procedures. In construing policies, compliance with Board policy, SAMs, and higher legal authority is presumed to be intended.

UHCL vice presidents are responsible for promoting and enforcing the compliance of all MAPs within their area of oversight. Faculty, staff, and students are responsible for knowing, understanding, and complying with MAPs that relate to their position, employment, or enrollment at UHCL.

II. POLICY INFORMATION

This policy is intended to enhance operational efficiencies, best practices, shared governance, compliance, effective decision-making, and transparency with respect to the manner in which UHCL policies are developed, maintained, and retired. For academic policies, please see UAAP - 1.6.

- A. This policy is drafted in accordance with [University of Houston System Administrative Memorandum \(“SAM”\) – 01.A.01](#).
- B. The creation of new policies, monitoring and overseeing the implementation of existing policies and procedures, and the rescission of existing policies will adhere to UHCL’s Shared Governance System ([UHCL 01.A.06 – University Shared Governance Policy](#)).
- C. A master copy of the UHCL Memorandum of Policies (MAPs) shall be maintained by the Office of Compliance.
- D. The policy coordinator in the Office of Compliance will work with the responsible party/subject matter expert (SME) to:
 1. Address any questions regarding policy development.
 2. Guide the policy through the Shared Governance System (SGS) review and approval process.
 3. Ensure correct policy formatting (See Appendix B) and proper signatures prior to publishing the new policy to the UHCL community via the UHCL website.
- E. The responsible party/SME is responsible for following the policy development and implementation process established by this policy, communicating their policies effectively, presenting their policies through the SGS process as appropriate, reviewing and updating their policies regularly, and monitoring their policies for compliance and effectiveness.

- F. UHCL vice presidents are responsible for promoting and enforcing the compliance of all MAPs within their area of oversight.
- G. Faculty, staff, and students are responsible for knowing, understanding, and complying with MAPs that relate to their position, employment, or enrollment at UHCL.
- H. Policies and associated procedures shall be reviewed on a regular basis. The review cycle may vary depending upon the policy type, scope or the volatility of information within, with no more than five (5) years between reviews.

III. DEFINITIONS

- A. Board: The Board of Regents of the University of Houston System (UHS).
- B. Full Review Process: The review and processing of new MAPs and substantive changes to current MAPs. There are four phases in the full review process, which the responsible party must manage:
 - 1. **Subject Matter Expert Policy Formation** – Ensures SME develops and reviews MAP.
 - 2. **Executive Policy Review** – Ensures division VP reviews and approves new policy/substantive changes to current MAP.
 - 3. **Legal Review** – Ensures new MAP or substantive changes to current MAP is reviewed by legal.
 - 4. **Shared Governance Review** – Ensures MAP adheres to requirements of the Shared Governance review process.
- C. Housekeeping Change: A revision to a MAP that is clerical in nature and does not directly change meaning or intent of the policy. Housekeeping changes include references to supporting law or other policies, corrected formatting or typos, corrected titles, change of authority for the policy, updated contact or URL information, or very minor text changes for clarity.
- D. Policy: For the purposes of this document, UHCL defines a policy as a statement of institutional philosophy and a general statement of a rule, established to provide direction and assistance to the university community. Policies should be governing principles that have broad application or effect across the university.
- E. Procedures: A statement that prescribes specific actions to be taken to conform to established policies, allowing for the orderly implementation of those policies. Procedures should articulate the process for accomplishing the parameters of the policy and might document a defined order, process, or course of action, thereby ensuring consistent and repetitive approaches to policy compliance.
- F. Responsible Party(ies): The supervisor primarily responsible for the subject matter of the policy. Depending on the subject matter, a MAP may have more than one responsible party.
- G. Shared Governance System: Collaborative avenue through which constituent groups advise the university's president on matters of policy and assist in the development of procedures. UHCL's Shared Governance System is comprised of the following committees:

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1. University Council
2. Academic Council
3. Planning and Building Committee
4. University Life Committee
5. Facilities and Support Services Committee.

- H. Subject Matter Expert (SME): The individual(s) designated by the responsible party(ies) as the curator of the MAP and the first point of contact to answer policy questions. The SME is the employee(s) with working knowledge of the MAP and/or direct (or “hands on”) responsibility for the implementation of the policy.
- I. Substantive Change: A revision to a MAP that materially alters its meaning or intent.
- J. University Council (UC): The UHCL Shared Governance Committee that will make final recommendations to the university president. Recommendations will come to the UC from the provost or other Shared Governance committees.

IV. **PROCEDURES**

- A. Any member of any constituent group or any person at UHCL may introduce a policy proposal or other item into the SGS policy management system ([UHCL 01.A.06 – University Shared Governance Policy](#)). See also Appendix D – Flowchart.
1. Interested University Member Proposals. Any constituent group or interested university member may introduce a policy proposal. This group/person should share their concerns/proposal with the University Life Shared Governance Committee, who will remand the member to the appropriate responsible party for action. The responsible party will be required to report to University Life the action taken on the proposal at the next scheduled University Life Committee meeting.
 2. Responsible Party Proposals. Any new policy or substantive changes to a current policy introduced by the responsible party must adhere to a full policy review:
 - a. **Subject Matter Expert Policy Formulation**
 - If substantial changes are made to an existing policy, the SME should develop an attachment/exhibit that details:
 1. Paragraphs modified.
 2. What the modification was.
 3. Why the modification was made.
 - This document should be labeled “Attachment A.”
 - b. **Executive Policy Review** (See Appendix A – Table I (Responsible Executive)).
 - c. **Legal Review**
 - d. **Shared Governance Review** (See Appendix A – Table II (Responsible Shared Governance Committee)).
 - A hard policy with no mark-ups should be submitted along with Attachment A, if required.

The policy should be drafted in such a way as to be understandable, concise, and easy to navigate.

- B. Upon introduction to the SGS policy management system, the chair of the

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- appropriate SGS committee will be notified, and the chair of the committee will:
1. Place the *draft* policy on the committee’s next available meeting agenda for a first presentation.
 2. Notify the responsible party and SME of the agenda date.

- C. Committee members will receive the new or updated policy (with Attachment A) 10 days prior to the scheduled committee meeting. After the presentation of the new/updated policy, committee members will have the opportunity to offer comments to the responsible party/SME. Attachment A example:

Attachment A: Record of Changes to Policy		
Changed Paragraph #	Proposed Change	Reason for Change
1.		
2.		
3.		

- D. Following the first presentation, the responsible party/SME will determine which suggested changes, if any, to include in the draft policy, and amend Attachment A to reflect those changes. If any suggested changes are rejected, then the responsible party shall create an Attachment B and list the proposed change(s) not accepted as well as the reason(s) this change was not adopted. Attachment B example:

Attachment B: Record of Rejected Changes to Policy			
Changed Paragraph #	Proposed Change	Proposing Party	Rationale for Rejecting Proposed Change
1.			
2.			
3.			

- E. At the next scheduled SGS committee meeting, the responsible party/SME will present the policy updates accepted (amended Attachment A) as well as not adopted (Attachment B), if necessary. If the SGS committee disagrees with the responsible party/SME, this information shall be included in the committee’s notes and sent to UC when the policy is presented.
- F. After the second presentation, the SGS committee must forward the draft policy and accompanying documents (Attachments A, Attachment B, etc.) to UC for review. The responsible party/SME will present the policy at the next scheduled UC meeting. The UC may add any additional recommendations, recommend the policy be adopted as presented, adopt the policy with amendment(s), or not adopt the policy ([UHCL 01.A.06 – University Shared Governance Policy](#)).
- G. Once the *draft* policy completes the Shared Governance review phase, it will be returned to the policy coordinator for further processing.
- H. The policy coordinator will review the policy formatting, links and appropriate signatures. The approval of the president, as indicated by signature on the approval line, must be given in order for any *draft* policy to become an official policy of the university.

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- I. The policy coordinator will assign a policy number and publish electronically on the UHCL website the administrative policy and communicate the new/updated policy to the SGS committee via email. Additionally, the responsible party/SME will determine if other effective methods for policy dissemination should be undertaken and if training should be conducted.
- H. Retirement of a Policy. A MAP is to be retired when it is no longer needed or is more effectively combined with or superseded by a board policy, SAM or another MAP. A MAP is considered retired upon documented approval by the responsible party/SME, the appropriate vice president, and the president. Upon retirement, the policy coordinator will remove the MAP from the UHCL website and archive it. See Appendix C – MAP Retirement Policy Form.
- I. Archiving. When a MAP is revised or retired, the policy coordinator will maintain the prior or retired version(s) in its electronic archives.
- J. Expedited Reviews
 - 1. **Legal.** Certain information within an official MAP may become obsolete or require revision due to changes in legislation or other higher authority (i.e., UH Board or UH System Policy). Policy revisions required that are not open for interpretation or debate (e.g. changes in legislation or higher authority) will not be subject to the standard 10-day posting and full review process. Instead, the policy will be revised and submitted directly to University Council and the president for approval.
 - 2. **Minor Changes.** Policy revisions incorporating minor or non-substantive changes will not be subject to the standard 10-day posting and full review process. Instead, the policy will be revised and submitted directly to University Council and the president for approval.
 - 3. **Housekeeping Changes.** The policy coordinator in consultation with the MAP’s responsible party/SME, has the authority to make non-substantive, housekeeping changes to a MAP without the necessity of going through the full review process. The document will be submitted directly to University Council and the president for approval.
- J. **Interim Issuances.** When a new MAP or revisions to an existing MAP are needed in a timeframe that does not allow for the full review process due to a regulatory, accreditation, or other pressing need, it can be proposed as an *interim* policy. The creation of or updates to an *interim* policy shall be made by the responsible party/SME and presented to University Council at its next scheduled meeting for the president’s approval. Upon approval, the *interim* policy will be returned to the policy coordinator for further processing. The *interim* policy must undergo the full review process within 12 months after its introduction to University Council.
- V. **RESPONSIBILITY**
 - A. Periodic Review. The responsible party/SME is responsible for maintaining and updating MAPs in his or her area to ensure that they reflect current policy and practices and that they are in conformance with applicable laws and regulations. To ensure policies remain

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RESPONSIBLE EXECUTIVE

TABLE I

The responsible party shall ensure that any new policy or substantial change(s) to an existing policy is reviewed and approved by the appropriate vice president:

VICE PRESIDENT	POLICY AREA OF RESPONSIBILITY
VP for Administration & Finance	General Information (01)
	Human Resources (02)
	Fiscal Affairs (03)
	Audit Function (04)
VP for Student Affairs	Student Affairs (05)
Senior Vice President of Academic Affairs & Provost	Academic Affairs (06)
	Information Services (07)
VP for University Advancement	University Advancement (08)
	Government Relations (09)

RESPONSIBLE SHARED GOVERNANCE COMMITTEE

TABLE II

The responsible party shall ensure that any new policy or substantial change(s) to an existing policy is introduced via the appropriate Shared Governance Committee:

	POLICY AREA OF RESPONSIBILITY	SHARED GOVERNANCE COMMITTEE
01	General Administration	
	Administrative Guide	University Life Committee
	Facilities and Physical Plant	Facilities and Support Services Committee
	Risk Management	Planning and Budgeting Committee
	Legal Affairs	University Life Committee
	Public Safety	Facilities and Support Services Committee
02	Human Resources	University Life Committee
03	Fiscal Affairs	Planning and Budgeting Committee
04	Audit Function	Planning and Budget Committee
05	Student Affairs	University Life Committee
06	Academic Affairs	Academic Council
07	Information Services	Academic Council
08	University Advancement	University Life Committee
09	Government Relations	University Life Committee

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POLICY TEMPLATE

APPENDIX B

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MEMORANDUM OF ADMINISTRATIVE POLICY

SECTION: _____
AREA: _____

Number: _____

SUBJECT: _____

I. PURPOSE AND SCOPE

Provides a rationale for the policy or procedure. The rationale may be a reference to a legal requirement, a statement of the goals which the policy is attempting to facilitate, or some other description of the reasons for the implementation of the policy or procedure.

II. POLICY INFORMATION

Explains in clear language what the policy entails and its objectives.

III. DEFINITIONS

Provides a glossary of specialized terms and their meanings to help the reader understand uncommon vocabulary or references.

IV. PROCEDURE

Explains the steps, forms, or methods to achieve the objectives of the policy.

V. REVIEW AND RESPONSIBILITIES

Designates the responsible department manager or division head and defines the review frequency.

VI. REVISION LOG

Lists previous issues and revision and reaffirmation dates of the policy. Reaffirmation dates will be placed below the issue number to which they correspond. For the first issue of the policy, the following statement shall be added under the Policy History section: “No prior issues of this policy.”

VII. REFERENCES

Identifies any authority or other information pertinent to the contents of the policy, such as state or federal legislation, Texas Higher Education Coordinating Board rules, UH System Administrative Memoranda, etc. If there are no references in the policy, the following statement shall be added under the References section: “There are no references associated with this policy.”

- Use approved template.
- Use Microsoft Word software.
- Use 1" top, bottom, left, and right margins on the policy.
- Policy number will be assigned by the Policy Coordinator.
- Policies should be typed in Times New Roman font.
- Drafts should be forwarded to the Policy Coordinator in the Office of Compliance.

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APPENDIX C

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MAP POLICY RETIREMENT FORM

A MAP is to be retired when it is no longer needed or is more effectively combined with or superseded by a board policy, SAM or another MAP. A MAP is considered retired upon documented approval by the responsible party/SME, the appropriate vice president, and the president.

The responsible party/SME shall complete and sign this form and return it to the policy coordinator. The policy coordinator will present this item at the next scheduled University Council meeting.

Policy Title	Policy Number:
Responsible Party/SME:	Phone:
Vice President:	Phone:
Requested Effective Date:	

Request disposition of MAP:
<input type="checkbox"/> Retire the policy/policy memorandum
<input type="checkbox"/> Retire the policy because it is being consolidated with another policy
<input type="checkbox"/> Other:
Rationale for taking recommended action:
<input type="checkbox"/> Content is no longer relevant (Please provide an explanation in the box below.)
<input type="checkbox"/> It fits better with another policy or merging of policies (List policies below.)
<input type="checkbox"/> It does not belong as a governing policy and is better suited relocated to another website Location (i.e., division/department procedures, etc.)
<input type="checkbox"/> Other:
Explanation for rationale:

Responsible Party/SME

Vice President

President

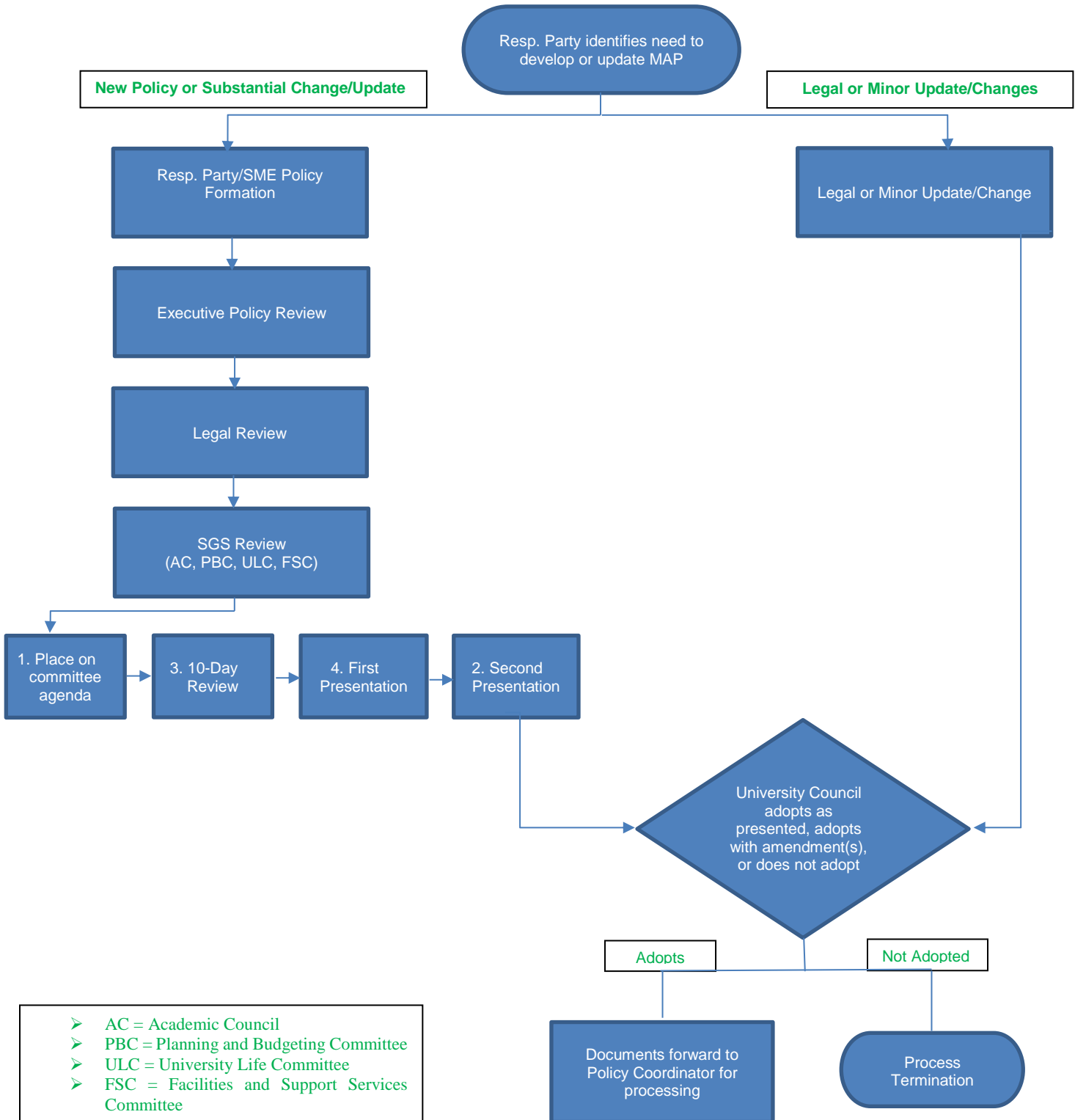
Date

Date

Date

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MAP PROCESS FLOW CHART



- AC = Academic Council
- PBC = Planning and Budgeting Committee
- ULC = University Life Committee
- FSC = Facilities and Support Services Committee