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University of Houston
UCC

UNIVERSITY of HOUSTON
MANUAL OF ADMINISTRATIVE POLICIES AND PROCEDURES

SECTION: General Information   Number: 01.01.01
AREA: MAPP Policy/Procedure System

SUBJECT: Administrative Policies and Procedures

I.   PURPOSE AND SCOPE   RECEIVED MAR 0 6 2012

University of Houston administrative and business operations are subject to federal, State of Texas, Board of Regents, and University of Houston System laws and regulations, and to standards of good business and management practice. University policies and procedures are developed to ensure compliance with these higher directives.

This document provides guidelines for developing and maintaining administrative policies and procedures to assure the most effective and timely communication and compliance throughout the University of Houston community. This policy and procedure system complies with ~~UH~~ System Administrative Memorandum 01.A.01.

The policies and procedures within this manual apply to administrative and business operations in all University of Houston and University of Houston System Administration units. This publication excludes academic and student policies, which can be found in the Faculty Handbook and the Student Handbook.

II.   POLICY

A.   Policies governing the operations of ~~University of Houston~~ the System component universities are codified in the ~~System Administrative Memoranda (SAM) Manual~~ System Administrative Memoranda (SAM) web site. The University of Houston shall develop procedures to implement the System Administrative Memoranda where necessary and publish them in the Manual of Administrative Policies and Procedures (MAPP) using the format and processes defined in this document.

B.   Generally, the MAPP shall address administrative and business operations of the University of Houston which are the responsibility of the Administration and Finance division. However, the Executive Vice President for Administration and Finance may elect or agree to include issues of interest to the university community which are the responsibility of another division.

C.   MAPP documents may elaborate on SAM policy where necessary. Where the SAM is silent, the University of Houston may develop its own policies.

D.   All University of Houston personnel should have access to the Manual of Administrative Policies and Procedures.

III.   DEFINITIONS

A.   ~~MAPP: (1) Manual of Administrative Policies and Procedures; (2) one document within the Manual of Administrative Policies and Procedures.~~

B. Policy: A policy is a statement of principles and values to guide the performance of activities toward institutional goals. Effective policies are flexible, comprehensive, coordinated, ethical, and clear.

CB. Procedure: A procedure is a defined course of proceeding – often composed of steps, using established forms or methods – to achieve an objective.

DC. Responsible party: The executive officer who has ultimate or delegated authority over and/or responsibility for a given policy area. This individual may also act as subject-matter expert.

ED. Subject -matter expert (SME): An employee who is an expert in a policy-related issue and who typically works with Business University Policies and ProceduresServices, and/or the Responsible party(ies), to create or revise policies or procedures. The SME may also act as Responsible party.

IV. AUTHORITY OF POLICIES AND PROCEDURES

A. In the event of a conflict between any MAPP and a directive issued by a higher authority, the higher authority will govern, and the MAPP in question will be revised to reflect the directive of the higher authority.

B. In the event of a conflict between a MAPP and any other policy or procedure under the authority of the Executive Vice President for Administration and Finance, the MAPP will govern and the superseded policy or procedure will be rescinded or rewritten to comply with the official policy.

C. In the event of a conflict between any MAPP and a directive issued by a university area other than the Division of Administration and Finance, the policy or procedure in question will be referred to the appropriate vice president for resolution.

V. FORMAT

A. All MAPP documents will be developed and published in a format consisting of the following key elements:

1. Header and Footer: Name or abbreviation of name of manual; section and area name (first header); document number; a clear and concise title describing the subject of the document; date issued; date of most recent revision (if applicable); and page number and total number of pages of the document.

2. Statement of Purpose and Scope: Statement of the rationale for the document, including reference to related higher regulations or policies, if applicable. A definition of the particular scope of applicability should be included where appropriate.

3. Policy Statement: A concise statement of the principles which form the basis of the policy. (Exists This exists only in MAPPs written to address university-specific issues.)

4. Definitions: Definitions of critical terms used in the document.

5. Supporting Policy Information: Additional sections outlining the details of the policy, including roles and responsibilities, as required.

5~~6~~.   Procedures: Additional sections outlining the details of the policy, as required. Procedures will outline steps to be followed for implementing the given policy.

6~~7~~.   Review and Responsibility: A section assigning oversight responsibility for the document and implementing a documented review schedule.

7~~8~~.   Approval: Signature and date lines for formal approval.

8~~9~~.   References: A list of related documents ~~and indexing terms~~.

10.   Revision Log: A table with information documenting the revision history of the MAPP. All MAPPs will have Revision Log information included in the documentation starting in January 2011.

B.   Each page of a MAPP shall contain the subject, document number, page number, and date.

VI.   FORMULATION AND REVIEW

A.   The need to create or revise a MAPP may arise anywhere, but every MAPP must fall under the jurisdiction of an executive officer (typically the direct reports to the Executive Vice President of Administration and Finance). The executive officer acts as the ~~R~~responsible ~~P~~party for the MAPPs.

B.   When the need to create or revise a MAPP arises, the ~~R~~responsible ~~P~~party will assign or act as a subject-_matter expert (SME) to create a new draft or identify necessary revisions. The SME will then contact ~~Business~~ University Policies and Procedures~~Services~~ to obtain a template (for new documents) or a copy of the existing MAPP (for revisions) in electronic form. Upon completion, the SME will provide the new or revised draft to ~~Business~~ University Policies and Procedures~~Services~~.

Note: MAPPs will also be forwarded to the SME by University Policies and Procedures when the documented review period for the MAPP approaches. The SME is responsible for replying to University Policies and Procedures with either the applicable updated document or an indication of "no updates required" by the end of the documented review period.

~~C.   University Policies and Procedures will submit the draft to the University Coordinating Commission (UCC) for full review. The UCC will identify relevant parties that should participate in the review of the draft.~~

~~D~~C.   MAPPs will be reviewed by the Executive Vice President for Administration and Finance for a preliminary review; there is no time limit on this review. Any indicated changes will be forwarded to the SME for review and implementation for five working days before beginning the Campus Review cycle.

D.   ~~Business~~ University Policies and Procedures~~Services~~ will issue the draft to all necessary and interested parties across the campus for review.

NOTE: The University Coordinating Commission (UCC) begins their review cycle with the Campus Review.

1.   All reviewers will have no more than 20 working days to review a document and respond with changes. ~~Failure to respond within the 20 working days will be considered an acceptance of the draft.~~

2.   Any suggested changes to the draft must be submitted in writing to ~~Business University~~ Policies and Procedures~~Services~~. Substantive changes must be accompanied by a justification or rationale for the change. If there is a question as to whether or not a change is substantive, it ~~should~~ will be treated as substantive.

3.   After 20 working days, ~~Business Services~~University Policies and Procedures will forward all responses to the ~~Responsible Party~~SME. The ~~Responsible Party~~SME will have five working days to determine which changes, if any, to include in the draft. The SME will make the approved changes and forward the redlined draft to ~~Business Services~~University Policies and Procedures. If the SME rejects a change, the SME will notify ~~the~~ University Policies and Procedures and the reviewer who submitted the original change. If the SME does not respond within five working days, the document will not continue ~~as is~~ to the next level of review until a response has been received.

4.   ~~Business Services~~University Policies and Procedures will submit the redlined draft for review ~~by the President's Cabinet~~to the executive review committee. The ~~Cabinet~~committee will have ~~no more than 10 working3~~20 working days to review a document and respond with changes. ~~Failure to respond within the 10 working days will be considered an acceptance of the draft.~~

NOTE: The University Coordinating Commission (UCC) will turn in their input at the end of the Executive Review period.

5.   Any suggested changes to the draft must be submitted in writing to ~~Business Services~~University Policies and Procedures. Substantive changes must be accompanied by a justification or rationale for the change. If there is a question as to whether or not a change is substantive, it should be treated as substantive.

6.   After ~~13~~20 working days, ~~Business Services~~University Policies and Procedures will forward any responses to the ~~Responsible Party~~SME. The SME will have five working days to make the approved changes and forward the redlined draft to ~~Business~~ University Policies and Procedures~~Services~~.

~~6.~~NOTE: All changes made after the Executive Review cycle will be communicated to the UCC. The UCC also receives the finalized document when the Executive Review cycle is completed.

~~Business~~ University Policies and Procedures~~Services will prepare a final document and submit it to the UCC for certification. The UCC will certify that all relevant parties were provided the opportunity to review and comment on the proposed draft and that comments were shared for consideration by all interested parties.~~

7.   ~~The UCC will return the certified document to University Policies and Procedures whereupon it~~The document will be distributed for the approval signature of the ~~R~~responsible ~~P~~party, the appropriate ~~V~~vice ~~P~~president, and the President. Each signatory ~~has five days to~~will review and return the document approved or with suggested changes to University Policies and Procedures.

8.   The Office of the Executive Vice President for Administration and Finance is responsible for submission of the policy to the President for sig~~ning~~nature. Once

signed, the document will be forwarded to ~~Business~~ University Policies and Procedures~~Services~~ for distribution. ~~MAPPs will be approved quarterly.~~

9.　To assist administrative staff in disseminating key changes in policies to their staff, ~~Business~~ University Policies and Procedures~~Services~~ will include quarterly policy updates ~~in the electronic business process newsletter~~on the main Policies and Procedures web page. Policy updates will also be sent to members of the MAPP Listserv and other interested parties as they occur.

~~D~~E.　Certain information within an official MAPP may become obsolete due to changes in legislation or other higher authority; organizational structure; or administrative initiative. When such information is not open for interpretation or debate, the document will not be subject to the standard review process. Instead, it will be revised and submitted directly for approval signature.

E.　Circumstances may require that a MAPP be issued immediately (before the review process could be completed) or for a finite amount of time, after which it is no longer necessary. Such a document will be issued as an "~~I~~interim" policy. Interim documents will be assigned an expiration or replacement date. If the ~~I~~interim document is not replaced with an official document within the expiration or replacement date, the ~~I~~interim document will expire and will not be subject to official rescission processes.

VII.　DISTRIBUTION AND FILING

A.　~~Business~~ University Policies and Procedures~~Services~~ will maintain at least one current set and one archival set of all MAPP documents.

B.　All official MAPPs will be maintained electronically at http://www.uh.edu/policyservices/mapp/. New and updated MAPPs will be posted within five working days of being approved and signed. Update notifications can be obtained electronically by registering using the MAPP Listserv portal on the Policies and Procedures web site.

VIII.　IMPLEMENTATION, ENFORCEMENT, AND MONITORING

A.　The ~~V~~vice ~~p~~Presidents (or ~~A~~associate/~~A~~assistant ~~V~~vice ~~P~~presidents) and General Counsel are responsible for monitoring the campus-wide implementation and enforcement of those MAPPs over which they have assigned authority.

B.　College and ~~D~~division ~~A~~administrators are responsible for implementing and enforcing all MAPPs ~~within~~ for their respective areas ~~all MAPPs~~ within 30 days of receipt.

IX.　RESCINDING MAPP DOCUMENTS

A.　Only the President has the authority to rescind MAPP documents and does so only when clear justification exists. However, rescission of existing MAPPs may be proposed by any university employee.

1.　Rescission proposals must be submitted in writing, accompanied by a thorough justification for the rescission, to ~~Business~~ University Policies and Procedures~~Services~~.

2.　~~Business~~ University Policies and Procedures~~Services~~ will forward rescission proposals to the appropriate ~~V~~vice ~~P~~president for review. If the ~~V~~vice ~~P~~president

accepts the proposal, he or she will submit the proposal to the President for review.

3. Once it has been determined that an existing MAPP should be rescinded, notification of this rescission will be communicated to the university community via the MAPP Listserv.

X. REVIEW AND RESPONSIBILITY

Responsible Party: Assistantociate Vice President for FinanceUniversity Services

Review: _____Every three years, on or before August 31March 1

XI. APPROVAL

_____Jim McShan_____
Interim Executive Vice President for Administration and Finance

_____Renu Khator_____
President

Date of President's Approval: ___April 7, 2008_____

XII. REFERENCES

UH System Administrative Memorandum 01.A.01

Index Terms: MAPP
               Policy
               Procedure

REVISION LOG

Revision Number	Approved Date	Description of Changes
1	02/17/1993	Initial version (Documentation was split into a Policy and a Procedure)
2	01/11/2000	Applied revised MAPP template per current operating practices. Combined Policy and Procedure into one document. "Emergency" or "Temporary" directives are labeled in the upper right-hand corner of the document per documentation in Section II.B. Added "Funding and Budgets" to Section V. Updated titles of key administrators in Section

Revision Number	Approved Date	Description of Changes
		VII.B. Documented access of MAPPs via the World Wide Web server access from the Internet in Section VII.C. Changed review period from every three years on or before July 1st to every three years on or before August 31st.
3	10/16/2007	Applied revised MAPP template. Updates were made to provide information about the quarterly review cycle and approval process for MAPPs and eliminate wording related to the hard-copy distribution of MAPPs
4	04/07/2008	Applied housekeeping changes, including inclusion of the University of Houston System Administration units within the scope of MAPPs
5	TBD	Applied revised MAPP template and added new Revision Log. Removed the definition of MAPP in Section II. Replaced the phrase "Business Services" with "University Policies and Procedures" throughout the document. Added "Supported Policy Information" and "Revision Log" to formatting information in Section V. Added note on SME responsibilities for documented review period MAPPs in Section VI.B. Added EVP for Administration and Finance review period before the Campus Review in Section VI.C. The Executive Review period is set to 20 working days in Section VI.D.4. Updated the approval process in Section VI.D.7. Added the review period for the University Coordinating Commission (UCC). Added a note on communication of changes after the Executive Review cycle and sending a finalized copy of the MAPP to the UCC. Approved MAPPs are posted to the MAPP web page in five working days as documented in Section VII.B. The responsible party was changed from the AVP for Finance to the Assistant Vice President for University Services. The review period was changed from every three years on or before August 31st to every three years on or before March 1st. Removed Index terms