I. PURPOSE AND SCOPE

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 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 specific academic and student policies, which can be found in the Faculty Handbook and the Student Handbook.

II. POLICY

A. Policies governing the operations of the System component universities are codified in the 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) web site 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 Senior 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 if there is not existing SAM documentation, the University of Houston may develop its own policies.

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

III. DEFINITIONS

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

C. 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.

D. Subject matter expert (SME): An employee who is an expert in a policy-related issue and who typically works with the University Policies and Procedures Coordinator, and/or the responsible party(ies) to create or revise policies or procedures. The SME may also act as a 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 Senior 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. (This exists only in MAPPs written to address university-specific issues.)


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

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

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


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 at any time, but every MAPP must fall under the jurisdiction of an executive officer (typically the direct reports to the Executive Senior Vice President of Administration and Finance). The executive officer acts as the responsible party for the MAPPs.

B. When the need to create or revise a MAPP arises, the responsible 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 the University Policies and Procedures Coordinator to obtain a MAPP template (for new documents) or a copy of the existing MAPP (for revisions) in electronic form. The SME will use revision tracking to document changes to existing MAPP documents. Upon completion, the SME will provide the new or revised draft to the University Policies and Procedures Coordinator.

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

C. If no updates are required for the document, and if any changes are not based on significant updates to procedures, forms, and process, the MAPP will be considered a “Housekeeping Change.” These documents will be posted to the Campus Review cycle web site with “Housekeeping Change” designation, and then go directly to the approval cycle without a review cycle.

D. MAPPs will be reviewed by the Executive Senior 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.

Note: The University Coordinating Commission (UCC) begins their review cycle with the Campus Review, and their due date for submission of comments is the end of the Executive Review cycle, or 40 Working Days.

D. The University Policies and Procedures Coordinator will issue the draft to all necessary and interested parties across the campus for review.

Note: All reviewers will have no more than 20 working days to review a document and respond with changes.
2. Any suggested changes to the draft during Campus Review must be submitted in writing to the University Policies and Procedures Coordinator. 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 will be treated as substantive.

3. After 20 working days, the University Policies and Procedures Coordinator will forward all responses to the SME. The 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 the University Policies and Procedures Coordinator. If the SME rejects a suggested change, the SME will notify the reason for rejection with justification to the University Policies and Procedures Coordinator and the reviewer who submitted the original suggested change. If the SME does not respond within five working days with either changes or rejected justification, the document will not continue to the next level of review until a response has been received and documented on the Executive Review web site.

4. The University Policies and Procedures Coordinator will submit the redlined draft for review to the Executive review Review committee. The committee will have 20 working days to review a document and respond with changes.

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 in Executive Review must be submitted in writing to the University Policies and Procedures Coordinator. 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.

6. After 20 working days, the University Policies and Procedures Coordinator will forward any responses to the SME. The SME will have five working days to make the approved changes and forward the redlined draft to the University Policies and Procedures Coordinator.

Note: All changes made after the Executive Review cycle will be communicated to the UCC for documentation reviewed by them. The UCC also receives the finalized document with redlines when the Executive Review cycle is completed.

7. The document will be distributed for the approval signature of the responsible party, the appropriate vice president, and the President. Each signatory will review and return the document approved or submit suggested changes to the University Policies and Procedures Coordinator.

8. The Office of the Executive Senior Vice President for Administration and Finance is responsible for submission of the policy to the President for signature. Once signed, the document will be forwarded to the University Policies and Procedures Coordinator for distribution and notification of approval to the MAPP Listserv.

9. To assist administrative staff in disseminating key changes in policies to their staff, the University Policies and Procedures Coordinator will include quarterly policy updates 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.

10. The MAPP Review process flowchart is located at the following location: http://www.uh.edu/af/universityservices/policies/MAPPReview_CrossFunctional.pdf.

EF. 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.

G. Any MAPP documentation changes or new documents approved at the Board of Regents’ level or a higher authority which are intended or scheduled for publication as a MAPP document will be subject for review by users during the next available Campus Review cycle for possible additional input. This Campus Review and accompanying Executive Review cycle will be documented as the next revision number level.

EH. 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 “interim” policy. Interim documents will be assigned an expiration or replacement date. If the interim document is not replaced with an official document with a completed review cycle within the expiration or replacement date, the interim document will expire and will not be subject to official rescission processes.

VII. DISTRIBUTION AND FILING

A. The University Policies and Procedures Coordinator will maintain at least one current set and one electronic archival set of all MAPP documents.

B. All official MAPPs will be maintained electronically at http://www.uh.edu/af/universityservices/policies/mapp/index.htm. 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 vice presidents (or associate/assistant vice 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 division administrators are responsible for implementing and enforcing all MAPPs for their respective areas within 30 days of receipt.

IX. RESCINDING MAPP DOCUMENTS

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.

A. Rescission proposals must be submitted in writing, accompanied by a thorough justification for the rescission, to the University Policies and Procedures Coordinator.
B. UH Main Campus personnel generating the rescission proposal are responsible for communicating the rescission and justification behind it to areas impacted by the potential removal of the MAPP documentation. Examples include, and are not limited to, the Office of Finance for fiscal information, University Information Technology for information technology information, the Office of Human Resources for personnel impacts, and General Counsel for any documents with specific legal impact.

2C. The University Policies and Procedures Coordinator will forward rescission proposals to the appropriate vice president for review. If the vice president accepts the proposal, he or she will submit the proposal to the President for review.

3D. 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 Parties: Associate Vice President for Finance
Associate Vice President for Administration

Review: Every three years on or before March 1

XI. APPROVAL

Carl Carlucci
Executive Senior Vice President for Administration and Finance

Renu Khator
President

Date of President’s Approval: December 5, 2012

XII. REFERENCES

System Administrative Memorandum (SAM) 01.A.01
Manual of Administrative Policies and Procedures (MAPP) 01.01.02 – University Coordinating Commission

MAPP Review Flowchart:
http://www.uh.edu/af/universityservices/policies/MAPPReview_CrossFunctional.pdf
# REVISION LOG

<table>
<thead>
<tr>
<th>Revision Number</th>
<th>Approved Date</th>
<th>Description of Changes</th>
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<tr>
<td>1</td>
<td>02/17/1993</td>
<td>Initial version (Documentation was split into a Policy and a Procedure)</td>
</tr>
<tr>
<td>2</td>
<td>01/11/2000</td>
<td>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 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.</td>
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<td>3</td>
<td>10/16/2007</td>
<td>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.</td>
</tr>
<tr>
<td>4</td>
<td>04/07/2008</td>
<td>Applied housekeeping changes, including inclusion of the University of Houston System Administration units within the scope of MAPPS.</td>
</tr>
<tr>
<td>5</td>
<td>12/05/2012</td>
<td>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 Coordinator” 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. Added the responsible party of the AVP for Administration. 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. Added MAPP Review flowchart to Section XII.</td>
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<tr>
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<td>Description of Changes</td>
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<tr>
<td>6</td>
<td>TBD</td>
<td>Added electronic access to MAPPs in Section II.D and electronic archival set of MAPPs in Section VII.A. Added revision tracking requirement for documentation changes to existing MAPP documents in Section VI.B. Added Section VI.C on “Housekeeping Changes” procedure. Updated note for Section VI.E on UCC receiving 40 working days for submission of comments. Indicated that all comments from Campus and Executive Review will be posted on the Executive Review web site with documented resolution in Section VI.E.3. Added notification of approval to MAPP Listserv to Section VI.E.8. Added process for MAPP documentation or new documents approved at Board of Regents’ level or higher to Section VI.G. Indicated the requirement for a completed review cycle for Interim documents in Section VI.H. Added justification information to Section IX.A. Added Section IX.B on responsibility of UH Main Campus personnel to communicate rescission and justification to areas impacted by the potential removal of the MAPP documentation. Added MAPP 01.01.02 to Section XII Changed Executive Vice President for Administration and Finance to Senior Vice President for Administration and Finance to text as applicable</td>
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