

UNIVERSITY of HOUSTON
MANUAL OF ADMINISTRATIVE POLICIES AND PROCEDURES

SECTION: General Information
AREA: MAPP Policy/Procedure System

Number: 01.01.01

SUBJECT: Administrative Policies and Procedures
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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 \(SAM\) 01.A.01](#).

The policies and procedures within this manual apply to administrative and business operations in all University of Houston Main Campus 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 on the [Manual of Administrative Policies and Procedures \(MAPP\)](#) web site using the format and processes defined in this document.
- B. Generally, MAPPs shall address administrative and business operations of the University of Houston which are the responsibility of the Administration and Finance division. However, the 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 other divisions.
- C. MAPP documents may elaborate on SAM policy where necessary. If there is not existing SAM policy or guidance, the University of Houston Main Campus may develop its own policies to the extent that they are consistent with prevailing law, regulations, and University of Houston System (UHS) policies.
- D. All University of Houston personnel will 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 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.)
 - 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.
 - 6. Procedures: Additional sections outlining the details of the policy, as required. Procedures will outline steps to be followed for implementing the given policy.

7. Review and Responsibility: A section assigning oversight responsibility for the document and implementing a documented review schedule.
 8. Approval: Signature and date lines for formal approval.
 9. References: A list of related documents.
 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 will contain the subject, document number, page number, and origination/current approval 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 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 the 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. Review periods vary based on the SME, which range from annually to every three years. 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. Housekeeping changes are not subject to the Review Cycle process, but will be posted on the [Policies and Procedures web site](#), and may be commented upon if the document’s review period expired, in case additional redlines are required.
1. Policies often come up for review as a matter of course because of the review due date within the policy itself. Upon review, some of these policies do not require substantive changes. In such cases, the review and subsequent change of the review date is considered a housekeeping change.
 2. “Housekeeping changes” are changes which do not affect policy content, but may include corrected formatting or typos, references to supporting law or other policies, corrected titles, change of authority for the policy, updated contact or URL information, or very minor text changes for clarity.
- D. MAPPs will be reviewed by the Senior Vice President for Administration and Finance for a preliminary review of five working days. Any indicated changes from the preliminary review will be forwarded to the SME for review and implementation for five working days before beginning the Campus Review cycle.

- E. The University Policies and Procedures Coordinator will issue the draft to all necessary and interested parties across the campus for review, including the University Coordinating Commission (UCC).

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, per [MAPP 01.01.02](#).

1. All other 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 indicate the reason for rejection with justification to the University Policies and Procedures Coordinator.
4. The University Policies and Procedures Coordinator will submit the redlined draft for review to the Executive Review committee, which is composed of the President's cabinet members. The committee will have 20 working days to review a document and respond with changes.

Note: The UCC will turn in their input at the end of the Executive Review period.

5. Any suggested changes to the draft during the Executive Review cycle 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.
6. At the end of the 20 working days at the Executive Review level, 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: A courtesy copy of any changes made to MAPPs reviewed by the UCC after the Executive Review cycle will be sent to the UCC.

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 with approval signature or submit suggested changes to the University Policies and Procedures Coordinator.
8. The Office of the 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.

- F. Certain information within an official MAPP may become obsolete or require revisions due to changes in legislation or other higher authority; organizational structure; or administrative initiative. Additionally, legal authority may require that the Board of Regents or UH President implement or approve certain policies to comply with federal or state law. 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 in consultation with the Vice President for Legal Affairs and General Counsel and submitted directly for approval signature. In such cases, a courtesy copy of the document will be sent to the UCC for informational purposes.
- G. Other circumstances may require that a MAPP be issued immediately (before the review process could be completed) or for a finite amount of time. Such a document will be issued as an "Interim" policy. Interim MAPPs shall be submitted through the regular review process during the next review cycle or as soon as practicable thereafter.

VII. DISTRIBUTION AND FILING

- A. The University Policies and Procedures Coordinator will maintain one electronic archival set of all MAPP documents.
- B. All official MAPPs will be maintained electronically at the web site <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 or as necessary to maintain compliance with existing laws.

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.

Note: This justification must include official documentation, such as supporting legal authority for the rescission, or other rationale, such as that a new or existing MAPP includes the information for the duplicated MAPP to be rescinded.
- B. UH Campus personnel generating the rescission proposal are responsible for communicating the rescission and justification behind it to University offices impacted by the potential removal of the MAPP documentation. Additionally, the employee requesting the rescission shall inform the University Policies and Procedures Coordinator of which offices were notified of the potential rescission, and shall work with the Coordinator to ensure that impacted offices are aware of the proposal. 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.
- C. 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.
- D. 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: Senior Associate Vice President for Finance
Associate Vice President for Administration

Review: Every three years on or before March 1

XI. APPROVAL

Jim McShan
Senior Vice President for Administration and Finance

Renu Khator
President

Date of President's Approval: _____ June 5, 2018

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

Revision Number	Approved Date	Description of Changes
1	02/22/1993	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 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 1 st to every three years on or before August 31 st .
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

Revision Number	Approved Date	Description of Changes
5	12/05/2012	<p>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 UCC a finalized copy of the MAPP. Approved MAPPs are posted to the MAPP web page in five working days 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</p>
6	03/23/2016	<p>Added "Main Campus" units to Section I, and removed "University of System Administration" units. Changed Executive Vice President for Administration and Finance to Senior Vice President for Administration and Finance throughout text. Revised Section II.C on developing MAPPs outside of existing SAM documentation. Added electronic access to MAPPs in Section II.D. Added requirements for SME to use revision tracking in Section VI.B. Revised Section VI.C on "housekeeping changes," and included specific definition and process for these documents. Adding preliminary review of five working days in Section VI.D. Added specific UCC information in Section VI.E, including providing the UCC with a courtesy copy of any MAPP changes after the Executive Review cycle is completed in Section VI.E.6, and removing requirement to provide the UCC with a finalized copy. Added the definition of Executive Review committee in Section VI.E.4. Documented information regarding the Board of Regents' and federal/state law changes to policies in Section VI.F, and added the requirement of providing a courtesy copy to the UCC for informational purposes for any document changed by these specified methods. Updated the Interim process in Section VI.G, with the requirement to submit the Interim document during the next review cycle or as soon as practicable. Added Note and Section IX.B on process for rescinding MAPPs. Added link to MAPP 01.01.02 on UCC process to Section XII, References</p>

Revision Number	Approved Date	Description of Changes
7	06/05/2018	Added to note in Section VI.B on review periods varying from annually to every three years. Updated titles as applicable