

Memo To: All UH-Downtown/PS Holders
From: Max Castillo, President
Subject: UH-Downtown Policy and Procedure System

UH-Downtown/PS 01.A.01
Issue No. 9
Effective date: 10/10/07
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1. PURPOSE

This policy statement establishes a system for developing, organizing, maintaining, and distributing University of Houston-Downtown (UHD) policies and procedures.

2. DEFINITIONS

2.1 Purpose: The rationale for the policy.

2.2 Definitions: Defines the meanings of words and/or terms used within the context of the policy and/or procedures.

2.3 Policy: The description of what is to occur under the policy.

2.4 Procedures: The methods/steps employed to enact the policy.

2.5 Exhibits: Any supporting materials that help clarify or enact the policy, such as forms, charts or correspondence.

2.6 Review Process: The responsible party and frequency with which the policy should be reviewed.

2.7 Policy History: A listing of issue dates of policy creations and revisions.

2.8 References: Any authority or other information pertinent to the contents of the policy, such as UH System Administrative Memoranda, state or federal legislation, Texas Higher Education Coordinating Board rules, etc.

3. POLICY

3.1 Format

3.1.1 Effective October 2007, all UHD Policy Statements shall be developed or revised in the format indicated by this policy and shall follow the single-column format used here. Following the heading, there shall be eight major sections labeled as follows:

Section No	Section Title
1	Purpose
2	Definitions
3	Policy

4	Procedures
5	Exhibits
6	Review Process
7	Policy History
8	References

Any section that has no comment shall contain a statement to that effect. The only exception is in cases where official policy-writing bodies for academic policies determine that policy and procedures are best presented in a single section; in those cases, Section 3 would be labeled “Policy/Procedures” and Section 4 would be labeled “See Section 3 for Procedures.” In this event, the policy-writing body is encouraged to clearly articulate procedural steps in the Policy/Procedures section as and where appropriate.

- 3.1.2 The Purpose section of each PS should provide a rationale for the policy or procedure outlined in the PS. The rationale may be a reference to a legal requirement, a statement of the goals which the PS is attempting to facilitate, or some other description of the reasons for the implementation of the policy or procedure.
- 3.1.3 The Definitions section of each PS should provide a glossary of specialized terms and their meanings to help the reader to understand uncommon vocabulary or references.
- 3.1.4 The Policy section of the PS should explain in clear, concise language what the policy is and its objectives are.
- 3.1.5 The Procedures section should explain the steps, forms or methods to achieve the objectives of the policy.
- 3.1.6 The Exhibits section should provide examples of supporting materials that that may demonstrate procedures or provide examples to assist in applying the policy such as forms, charts and correspondence.
- 3.1.7 The Review Process designates the responsible Department Manager or Division Head and defines the review frequency.
- 3.1.8 The Policy History section is a list of previous issue and revision dates of policy.
- 3.1.9 The References section can identify 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.
- 3.1.10 The following formatting style must be applied to all Policy Statements:
 - A. Font: Times New Roman, 12 point;
 - B. Margins: One inch top, bottom, left and right; and

C. Footer: Times New Roman, 10 point.

3.1.11 The heading format of all Policy Statements must follow the style as the header of this PS. Until the PS has been approved by the President, the proposed PS should not list the President's name as the initiator, and it must be clearly labeled DRAFT in the upper right-hand corner of the first page and the footer of every page of the policy.

3.1.12 The following formatting style must be applied to all Exhibits:

- A. Font: Times New Roman, 12 point; and
- B. Margins: One inch top, bottom, left and right.

3.1.13 The heading format of Exhibits must follow the style as the header of Exhibit B of this PS.

3.2 Policy Numbering System

3.2.1 UHD Policy Statements will employ a NN.A.NN category-area-section numbering system where:

- NN represents two digits indicating CATEGORY;
- A represents an alphabetic character for AREA; and,
- NN represents two digits indicating SECTION.

3.2.2 The following codes will be used to represent respective categories and areas:

- 01 ADMINISTRATION
 - A—Administration, General
 - B—Auxiliary Services
 - C—Facilities
 - D—Safety
- 02 PERSONNEL
 - A—Personnel, General
 - B—Staff
- 03 ACADEMIC MATTERS
 - A—Academic Matters, General
- 04 STUDENT AFFAIRS
 - A—Student Affairs, General
- 05 FINANCIAL AFFAIRS
 - A—Financial, General
 - B—Budgeting
 - C—Purchasing

- 06 GRANT ADMINISTRATION
 A—Grant Administration, General
- 07 PROPERTY MANAGEMENT
 A—Property Management, General
- 08 INFORMATION SYSTEMS
 A—Information Systems, General
- 09 UNIVERSITY ADVANCEMENT/PUBLIC AFFAIRS
 A—Development
 B—Public Affairs
- 10 FACULTY
 A—Personnel Matters

3.2.3 Employment Services and Operations (ESO) is responsible for assigning numbers to all new Policy Statements.

3.2.4 Employment Services and Operations is responsible for maintaining an index of all PS documents and for making new and revised policies available online within two weeks of their final approval by the President. ESO will ensure that the change in policy is widely publicized in the university community.

3.3 Development, Review, and Approval of Policies

3.3.1 All academic policies will be developed, reviewed, and approved according to the provisions of PS 01.A.03.

3.3.2 Other University policies will be developed through the office(s) of the senior administrator(s) responsible for the area(s) covered by the policy.

3.3.3 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.

3.3.4 The President may, at his/her discretion, authorize appropriate administrative officers to develop and implement new policies and procedures or to revise established policies and procedures on a provisional basis until such time that they complete the normal review process provided for in the above sections (3.3.1 or 3.3.2). Such authorization is granted, however, only for clear and compelling reasons.

3.3.5 Each policy will contain a section, Review Process, that states the party responsible for review and the frequency with which it will be reviewed. The format for that section will be:

Responsible Party: (Reviewer): *Indicates the name of the administrator responsible for policy contents/review*

Review: *Indicates the review frequency, i.e., "Every three years on or before May 1st."*

3.4 Revision

- 3.4.1 UHD Policy Statements will be updated, revised, or rescinded following already established procedures at any time when discussion indicates that such action is required.
- 3.4.2 The major review responsibility for Policy Statements lies with the responsible party identified in the "Review Process" section of the PS, although proposals to revise or update policies may be made at any time by any member of the University community. Updating, revising, and rescinding require the same authority and the same procedure as described in section 3.3 of this statement.

3.5 Distribution

- 3.5.1 Employment Services and Operations shall prepare and make available all approved Policy Statements online and notify the university community of all updates.
- 3.5.2 Employment Services and Operations maintains one historic set of UHD Policy Statements, which includes all official versions of each policy.

3.6 Authority of UHD Policy Statements

- 3.6.1 If any conflict arises between a UHD policy statement and any other departmental, divisional, or organizational policy or procedure, the authority of the UHD policy statement must take precedence.
- 3.6.2 If any conflict arises between a UHD policy statement and any policy or procedure of the University of Houston System, Board of Regents, state, or federal law, the UHD policy statement must be revised, according to section 3.3 of this policy, immediately to bring it into accord with the higher authority.
- 3.6.3 Through proper consultation, smaller units of the University may develop those policies and procedures which apply solely to their operations so long as those policies and procedures do not contradict a higher authority UHD policy statement, state law, etc. Only UHD policy statements, however, represent official UHD policy. Policies and procedures of smaller units may be developed and distributed in any manner consistent with the University's commitment to shared governance and efficient and effective functioning.

- 3.6.4 When a University policy question arises, the official UHD Policy Statements must be consulted. If the question is treated there, those guidelines take precedence. If not, those practices which have guided such situations in the past at UHD and are consistent with principles of shared governance should be followed, and the steps outlined in this policy statement should be taken to initiate or revise a UHD policy to cover the question or situation.

4. PROCEDURES

4.1 Review and Approval

- 4.1.1 After a draft of a non-academic policy has been developed, it will be reviewed by the President's Executive Council. The VP for Employment Services and Operations will simultaneously circulate the policy to the Faculty Senate, Staff Council, and Student Government Association as an information item with each group given two weeks to make comments. The senior administrator responsible for the draft policy may agree to modifications which are suggested during this review period.
- 4.1.2 Upon approval of the President's Executive Council and President's signature, Employment Services and Operations will post the policy online at http://www.uhd.edu/about/hr/uhd_policy_statements.html and notify the university community.
- 4.1.3 Unless otherwise specified, a policy becomes effective the date the President signs it.
- 4.1.4 The VP for Employment Services and Operations will initiate the review process of non-academic policies and the VP of Academic Affairs and Provost will initiate the review of academic policies by notifying the responsible party (see section 6, Review Process, of this policy) that it is time for a policy to be reviewed.

4.2 Policy Tracking

- 4.2.1 The VP for Employment Services and Operations will track the status of non-academic policies and the VP of Academic Affairs and Provost will track the status of academic policies under review and/or revision.

5. EXHIBITS

- Exhibit A: UHD Policy Template
Exhibit B: UHD PS Exhibit Template

6. REVIEW PROCESS

Responsible Party: (Reviewer): President

Review: Every three years on or before May 1st.

Signed original on file in Employment Services and Operations.

7. POLICY HISTORY

Issue #1: 08/11/81 (as Policy #01.01)

Issue #2: 08/11/83

Issue #3: 01/16/85

Issue #4: 07/15/86

Issue #5: 10/13/89

Issue #6: 04/25/94

Issue #7: 08/01/96

Issue #8: 07/24/00

8. REFERENCES

UH System Memorandum 01.A.01

Memo To: All UH-Downtown/PS Holders

UH-Downtown/PS

From: Max Castillo, President

Issue No.

Effective date:

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Subject:

1. PURPOSE

2. DEFINITIONS

2.1

3. POLICY

3.1

4. PROCEDURES

4.1

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Review: *Indicate the review frequency, i.e., "Every three years on or before May 1st".*

President

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Policy Exhibit Template/Guidelines

1. Set up a 1” top margin
2. Place exhibit heading on the top right hand corner of the document, as shown above.
3. Create a header with the exhibit # and corresponding policy number
4. Use Times New Roman 10 for the header
5. Use title case for the exhibit, i.e., “Exhibit A”
6. Use letters when numbering your exhibits
7. If the exhibit has more than one page, reference it as such, i.e.,

Exhibit A
PS nn.X.nn
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