



UT System Administration Policy Library -- Policy INT155

Formulation and Adoption of Policies by UT System Administration

Responsible Officer: Vice Chancellor for Administration

Sponsoring Office: Office of Administration

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Errors or changes to: policyoffice@utsystem.edu

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POLICY STATEMENT

The University of Texas System (UT System) Administration requires its offices to use a comprehensive and uniform process for developing, issuing, implementing, and maintaining UT System Administration policies. Other than the Office of the Board of Regents, any UT System Administration office or department responsible for proposing, implementing or enforcing UT System Administration policies must comply with this policy. This policy defines a UT System Administration policy and outlines the procedures, roles and responsibilities involved in formulating, approving, issuing, implementing, reviewing and amending UT System Administration internal policies and policies that a UT System Administration Office has been authorized to develop that are applicable across UT System.

RATIONALE

A comprehensive and uniform process for developing, issuing, implementing, and maintaining policies will enable UT System Administration to make policy development more efficient, and avoid overlapping or inconsistent policies. A comprehensive policy process will also enhance the implementation and enforcement of such policies, prompt regular reviews of existing policies and make those policies readily available on a system-wide basis. This policy is intended to provide each UT System Administration office with the flexibility and discretion to develop policy efficiently, and to increase the opportunity to achieve policy goals, while establishing accountability for policy development, implementation, enforcement, and objectives.

SCOPE

All offices of UT System Administration

WEBSITE ADDRESS FOR THIS POLICY

<http://www.utsystem.edu/policy/policies/INT155.html>

RELATED STATUTES, POLICIES, REQUIREMENTS OR STANDARDS

UT System Administration Policies & Standards	Other Policies & Standards
<ul style="list-style-type: none">• UT System Administration Records Retention Schedule	

CONTACTS

If you have any questions about UT System Administration Policy INT 155, *Formulation and Adoption of Policies by UT System Administration*, contact the following offices:

Subject	Office Name	Telephone Number	Email/URL
Policy Clarification	Policy Office	512-499-4744	policyoffice@utsystem.edu
	or Office of Administration	512-499-4209	administration@utsystem.edu
Standard Format Information	Policy Office	512-499-4744	policyoffice@utsystem.edu

DEFINITIONS

Effective Date

The month, day and year on which the Vice Chancellor for Administration approves a policy for adoption.

Executive Officer Group (EOG)

The Executive Officers of the University of Texas System (UT System) Administration.

Exempt Policy

Any policy, procedure or guideline not subject to this policy and not required to go through the UT System Administration Policy Development Process. Exempt policies include:

- Any Regents' *Rule and Regulation* or Regental Policy;

- Any UT System Administration departmental policy, procedure or guideline that does not meet all of the criteria of **Policies Subject to the Policy Development Process** as defined in this Policy; and
- All policies of individual institutions of the UT System.

Last Reviewed

The month, day and year on which the Sponsoring Office most recently reviewed a policy. For a detailed description of how Last Reviewed dates are set and changed, see the Policy Review Process subsection of the Procedures section of this policy. For a new policy, undergoing the Policy Development Process for the first time, the Last Reviewed Date will be the same date as the Effective Date.

Next Scheduled Review

The month, day and year upon which a policy should again be reviewed by the Sponsoring Office to determine if changes or revisions to the policies are necessary. Upon the Next Scheduled Review date, the Sponsoring Office must review the policy using the procedures specified in the Policy Review Process subsection of the Procedures section of this policy.

Policies Subject to the Policy Development Process

A policy subject to the Policy Development Process described in this Policy is a policy that:

- Has *broad application within all of System Administration or throughout the UT System*.
 - *Broad application* means that the policy has a significant impact on daily life, operations, responsibilities, procedures or expectations for one or more key communities, including students, faculty and staff.
 - *Throughout the UT System* means that the policy applies to
 - the entire UT System, including all of the institutions, and UT System Administration; or
 - The UT System Administration, internally; and
- It encourages compliance with applicable laws and regulations; promotes operational efficiencies; enhances fulfillment of the UT System’s mission; or reduces institutional risks; and
- It mandates actions or constraints; contains specific procedures for compliance; and articulates desired outcomes; and
- The subject matter requires review and approval for policy issuance and substantive changes from either:
 - The Board of Regents; or
 - The Chancellor, and/or those UT System Administration officers or offices specifically designated by the Chancellor.

A policy that meets each of the four criteria set out above is subject to this Policy including the Policy Development Process.

Examples:

The following examples meet all four criteria, and would qualify as policies under the definition established above:

- A policy on harassment that affects all UT System employees.
- A policy that affects a particular accounting practice and that applies to all institutions and to all UT System Administration offices.
- A policy establishing travel requirements for all UT System Administration employees

The following examples do not meet all of the four criteria, and would not qualify as policies under the definition set out above:

- A policy on casual dress established by one office within UT System Administration.
- A policy that applies to the management of construction projects at all institutions and across UT System Administration.
- A policy setting travel requirements for one institution.

Policy, this Policy

As used in this Policy, any reference to “this Policy” means this Policy on Formulation and Adoption of Policies by UT System Administration.

Policy Archive

The digital repository of all active UT System Administration Policies, as well as superseded versions of UT System Administration policies.

Policy Development Process

The steps through which a Sponsoring Office obtains review and adoption of a new policy or a Substantially Revised existing policy. *For a graphic depiction of the process, see Appendix A.*

Policy Library

The on-line repository of all policies subject to this Policy that are currently in effect. The Policy Library is maintained by the Policy Office and is accessible to the public.

Policy Office

The unit within the Office of Administration responsible for facilitating the development, maintenance, review and approval of UT System Administration internal policies, as well as policies that are applicable across the UT System. The Policy Office acts as the liaison between the Sponsoring Office and the various groups and offices that participate in the Policy Development Process and the Policy Review Process. The Policy Office is also responsible for organizing and providing ready access to all current, system-wide policies and all System Administration internal policies. The Policy Office manages and maintains the Policy Office Website, including the Policy Library, which is the official repository of all policies subject to this policy.

Policy Review Process

The process and steps through which a Sponsoring Office conducts regular reviews of its policies, and the requirements for such reviews, as established by this policy.

Policy Statement

A summary description, offered at the beginning of an official policy developed by UT System Administration, explaining: to whom the policy applies; the circumstances or conditions under which the policy applies; and the terms or requirements the policy mandates.

Procedures

The section of a policy developed by UT System Administration that describes how the policy will be implemented or enforced. In particular, procedures describe the action steps, activities or mechanisms through which the terms or requirements of a policy will be implemented or enforced, and the roles accountable for each.

Rationale

A summary explanation, offered at the beginning of a policy developed by UT System Administration, describing the problem or conflict the policy will resolve or the goals it will achieve. The rationale may also describe the legal, regulatory, or operational challenges or circumstances, or other changes in the surrounding operating environment, to which the policy responds.

Responsible Officer (RO)

The UT System Administration Executive Officer who provides oversight of a Sponsoring Office, or the person designated by the appropriate Executive Officer. The RO authorizes the Sponsoring Office to initiate the Policy Development Process and advocates for the approval of policies developed or reviewed through the Policy Development Process. The Responsible Officer is responsible for ensuring that a Sponsoring Office is in compliance with this policy.

Sponsoring Office

The office or department within UT System Administration responsible for implementing, enforcing when appropriate, and maintaining a policy that is subject to this Policy. The Sponsoring Office must comply with this Policy in order to establish a new policy or Substantially Revise an existing policy. The Sponsoring Office advocates for any new policy or policy revisions it proposes, and takes the lead role in the Policy Development Process. The Sponsoring Office consults with offices of UT System Administration and/or with UT System institutions regarding the draft policy on an as-needed basis, as defined in the **Procedures** section of this policy. The Sponsoring Office briefs the EOG regarding policies to be approved through the Policy Development Process. The Sponsoring Office is also responsible for training those affected by its policies, as well as those who implement or enforce them, if the office is responsible for enforcement of the policies. The Sponsoring Office is responsible for reviewing its policies on a regular basis and for amending them as necessary. The Sponsoring Office

has records retention responsibilities for its policies. Any UT System Administration Office or any UT System Institution may confer with the Sponsoring Office to request a new policy, or substantial revisions to an existing policy.

Standing Committee of the Board of Regents

A committee of the Board of Regents, which provides oversight to particular functions or substantive areas on an ongoing rather than an ad hoc basis, and whose membership is composed solely of members of the Board of Regents. The committees currently in existence which meet this definition are: the Academic Affairs Committee; the Audit, Compliance and Management Review Committee; the Facilities Planning and Construction Committee; the Finance and Planning Committee; and the Health Affairs Committee.

Standing Oversight Committee of System Administration

A committee chartered by the Chancellor, and charged with providing oversight to particular functions or substantive areas on an ongoing rather than an ad hoc basis, and whose membership includes specifically designated Executive Officers of System Administration. The committees currently in existence which meet this definition are: the System Administration Internal Audit Committee; the Risk Management Executive Committee; the System-wide Executive Compliance Committee; and the System Administration Executive Compliance Committee.

Substantial Revision(s)

The standard for determining whether requested changes to an existing policy trigger application of the Policy Development Process. “Substantial Revisions to an existing policy ” means changes in the scope, application or terms of a policy that have a significant impact on daily life, operations, responsibilities, procedures or expectations for one or more key communities, including students, faculty and staff, across:

- The entire UT System, including all of the institutions, and UT System Administration; or
- The UT System Administration, internally

Changes that broaden or narrow the scope or application of an existing policy, or that alter its substantive terms, may constitute a Substantial Revision if those changes otherwise satisfy the standard set out above.

Changes in the scope, application or terms of a policy that serve only to lessen the impact of a policy, or that reduce existing requirements on one or more key communities, including students, faculty and staff, and that would not otherwise fit the definition of “Substantial Revisions to an existing policy,” as set out above, may not constitute Substantial Revisions.

Changes to a policy that reflect existing standard practice within UT System Administration, or that integrate into a policy existing provisions of another UT System policy, and that do not therefore have a significant impact as described above, will not constitute substantial revisions for purposes of this definition.

Changes to a policy's appendices, forms or on-line tools or processes, through which the substantive terms of a policy are implemented, will not constitute a Substantial Revision for purposes of this definition, unless those changes have a significant impact as defined above.

Vice Chancellor for Administration (VCA)

The UT System Administration Executive Officer responsible for oversight of the Policy Office and its operations, including the Policy Development Process and the Policy Review Process. The VCA is responsible for this policy, and for ensuring its implementation and administration, and, when appropriate, its enforcement. The VCA is responsible for the final decision regarding approval or disapproval for adoption of any policy undergoing development or Substantial Revision through the Policy Development Process.

RESPONSIBILITIES

The major responsibilities each party has in connection with this policy are as follows:

Executive Officer Group

- Receives a briefing, and may comment regarding all policies approved through the Policy Development Process.

Office of General Counsel

- Advises and assists the Sponsoring Office, as requested, in identifying the need for a new policy or for Substantial Revisions to an existing policy;
- Advises and assists the Sponsoring Office, as requested, in drafting and revising any policies developed or reviewed under this policy; and
- Reviews and approves all final policies for legal sufficiency prior to final adoption by System Administration.

Policy Office

- Facilitates the Policy Development Process as well as the Policy Review Process, and compliance with this policy;
- Assists with policy editing and formatting;
- Provides training, support and consultation on the UT System Administration Policy Development Process;
- Indexes, archives, and posts new and existing policies developed by UT System Administration to the Policy Library and the Policy Archive; and
- Manages and maintains the Policy Office website, including the Policy Library

Responsible Officer

- Approves initiation of the Policy Development Process by the Sponsoring Office;

- Advocates for the adoption of policies developed or reviewed through the Policy Development Process
- Ensures compliance by the Sponsoring Office with this policy

Sponsoring Office

- Implements, maintains and enforces, as appropriate, the Sponsoring Office's policies;
- Identifies the need for a new policy, or for Substantial Revisions to an existing policy;
- Drafts any new policy it proposes, as well as any revisions to its existing policies;
- Advocates for adoption of its proposed policies or policy revisions throughout the Policy Development Process
- Consults with offices of UT System Administration and/or with UT System institutions regarding the draft policy on an as-needed basis, as defined in the **Procedures** section of this policy
- Briefs the EOG regarding policies to be approved through the Policy Development Process.
- Announces the Policy; *See Appendix D*
- Organizes and conducts implementation training required for any newly adopted or Substantially Revised policy;
- Maintains and enforces, as appropriate, the adopted policy;
- Conducts regular reviews of its policies as required by the Procedures section of this policy;
- Maintains the working files used in the development its policies according to the UT System Administration Records Retention Schedule.

Vice Chancellor for Administration

- Oversees the Policy Office and its operations, including the Policy Development Process and the Policy Review Process;
- Oversees the implementation and administration of this policy, and, when appropriate, its enforcement;
- Reviews all notices of initiation of the Policy Development Process;
- May terminate or suspend the Policy Development Process, or may require further action or information from the Sponsoring Office prior to resumption of the Policy Development Process, as appropriate.
- Approves or disapproves adoption of all policies reviewed through the Policy Development Process;
- May refer any policy not approved for adoption to the Sponsoring Office with recommendations for further action, as appropriate.

PROCEDURES

Applicability

1. Exemption of a policy from the terms of this Policy acts only an exemption from the policy development processes set forth in this Policy. UT System Administration retains the right to enforce all policies developed by UT System Administration, regardless of whether the policies have been exempted from this Policy.

Formulating and Adopting a Policy through the Policy Development Process

The Policy Development Process begins with the Sponsoring Office (SO). *See Appendix A.* The Sponsoring Office is the office or department within UT System Administration seeking to establish a new policy, or to revise an existing policy substantially. The Sponsoring Office must be the UT System Administration Office responsible for implementing, and maintaining, and enforcing, as applicable, the policy in question.

Any UT System Administration Office or UT System Institution may request that a Sponsoring Office undertake development of new policy or revisions to an existing policy. The Sponsoring Office must provide a response to the requesting System Office or Institution and provide a copy of the request and its response to the Vice Chancellor of Administration. However, the Sponsoring Office is not required to initiate the Policy Development Process or to amend a policy in response to such a request.

The Policy Office provides all forms, on-line tools and procedural guides necessary to support the Policy Development Process.

The Sponsoring Office may request assistance from the Policy Office, or from OGC, with respect to any step in the Policy Development Process.

Proposal Phase

Step 1: The Sponsoring Office identifies the need for a new policy or for Substantial Revisions to an existing policy.

Step 2: The Sponsoring Office initiates the Policy Development Process by completing the **Notification: Initiation of the Policy Development Process** and submitting it to the Policy Office and to the Vice Chancellor for Administration. Upon submission of the required notice, the Sponsoring Office may proceed with the Policy Development Process, as described in Steps 4-12, below, pending further action or response to the notice from the VCA.

Step 3: The Policy Office and the VCA review the notice. Based on the review, the VCA may take no action, in which case the Policy Development Process continues without interruption, as noted in Step 2, above. Alternatively, the VCA may request that the Sponsoring Office terminate or suspend the Policy Development Process, or may require further action or information from the Sponsoring Office prior to resumption of the Policy Development Process.

Review Phase

Step 4: The Sponsoring Office drafts the policy, using the **Policy Template**.

Step 5: The Sponsoring Office consults with offices of UT System Administration and/or with UT System institutions regarding the draft policy on an as-needed basis.

- If the policy applies to The UT System Administration, internally:
 - The Sponsoring Office consults with any other System Administration Offices that may be involved in implementation or enforcement of the policy. The purpose of the consultations will be to identify any concerns related to implementation or enforcement of the policy.
- If the policy applies to the entire UT System, including all of the institutions, and UT System Administration:
 - The Sponsoring Office consults with any other System Administration Offices that may be involved in implementation or enforcement of the policy. The purpose of the consultations will be to identify any concerns related to implementation or enforcement of the policy.
 - The Sponsoring Office consults with the institutions, and through the institutions confers with representatives of key institutional communities, including students, faculty and staff, upon which the policy will have a significant impact, as described in the definitions section of this policy. The purpose of the consultations will be to identify any concerns related to the impact or the application of the policy.

Step 6: Based on the consultations describe in Step 5 above, the Sponsoring Office makes any appropriate revisions to the draft policy.

Step 7: The Responsible Officer of the Sponsoring Office reviews and approves the draft policy. If the Responsible Officer is a designee of the Executive Officer who provides oversight to the Sponsoring Office, the Responsible Officer must review the draft policy with that Executive Officer, and must obtain the approval of the Executive Officer to proceed with the policy development process.

Step 8: OGC reviews and approves the policy for legal sufficiency. OGC certifies its approval in writing.

Approval Phase

Step 9: The Sponsoring Office submits the final policy draft, including a new Next Scheduled Review Date on the cover sheet of the policy, to the VCA for approval. In addition to the final policy draft, the Sponsoring Office submits to the VCA the Request for Policy Approval and OGC written approval of the final draft for legal sufficiency.

The VCA approves or disapproves the final policy draft for adoption, or refers the policy to the Sponsoring Office for further action.

Step 10: If the VCA approves the draft policy for adoption, the Sponsoring Office briefs the EOG regarding the new policy. The Sponsoring Office is not required to brief the EOG if it has presented the final draft policy to a standing oversight committee of System Administration, or to a standing committee of the Board of Regents, and obtained formal approval for adoption of the policy. Such an approval must be obtained prior to submission of the policy to the VCA, as described in Step 9. Such an approval does not exempt the Sponsoring Office from the Policy Development Process, or from any other individual step in the Policy Development Process, other than the briefing of the EOG.

Step 11: The Sponsoring Office certifies that the policy has been reviewed in accordance with INT155, by completing the Policy Development Process Checklist. The Sponsoring Office submits the final policy draft, OGC written approval of the final draft for legal sufficiency, the Policy Development Process Checklist and the Request for Policy Approval Form to the Policy Office. The Sponsoring Office must maintain a copy of each of the documents submitted to the Policy Office.

Step 12: The Sponsoring Office announces and implements the policy with assistance from the Policy Office.

The Sponsoring Office:

- Announces the new/revised policy; See *Appendix D*
- Conducts any necessary implementation training
- Maintains and enforces the policy
- Conducts regularly scheduled reviews of the policy, as required by this policy
- Maintains the working files used in the development of the policy according to the UT System Administration Records Retention Schedule.

The Policy Office:

- Assists the Sponsoring Office in announcing the new/revised policy
- Catalogs and indexes the policy
- Posts the policy to the Policy Library and the Policy Archive

Reviewing a Policy through the Policy Review Process;

Each UT System Administration office or department is responsible for reviewing and maintaining the policies it sponsors. See *Appendix B*.

1. Mandatory Review Requirements:

Each policy covered by this policy must be reviewed by the date specified as the Next Scheduled Review on the title page of the policy.

At a minimum, each policy covered by this policy must be reviewed within four years of the Last Reviewed date, as specified on the title page of the policy, and in no event shall a date specified for a Next Scheduled Review exceed more than four years from the Last Reviewed Date, as specified on the title page of the policy.

It is the responsibility of the Sponsoring Office to determine if statutory requirements or any other factors require one or more reviews in advance of the minimum requirement of a review every four years.

The Policy Office will provide all forms, on-line tools and procedural guides necessary to support the Policy Review Process.

2. Conducting the Policy Review Process:

Requirements for the Sponsoring Office: Within sixty days of the initiation of the review process, the Sponsoring Office must review the policy in question and take the appropriate course of action as described in this subsection. The requirements of this subsection apply whether the Policy Review Process is initiated by the Policy Office, based on the Next Scheduled Review date, or whether it is initiated by the Sponsoring Office, based on its determination that a review is necessary in advance of the Next Scheduled Review date, as described in Subsection 1., above:

- If the policy will no longer remain in effect and should be eliminated: notify the Policy Office, in writing, regarding the policy to be eliminated and the date upon which the policy in question will no longer be effective
- If the policy will remain in effect in its current form, and requires no revision: notify the Policy Office, in writing, that the Sponsoring Office has reviewed the policy and that the Policy remains in effect in its current form; and provide the Policy Office with a new Next Scheduled Review Date.
- If the policy will remain in effect, but requires changes that do not rise to the level of Substantial Revisions, as defined in this policy: make the necessary revisions, and provide the Policy Office with the revised policy as well as a new Next Scheduled Review Date. A Sponsoring Office may be required to use the Policy Announcement Procedures described in *Appendix D*, even if the proposed changes do not constitute Substantial Revisions as defined in this policy. In the case of revisions that do not constitute Substantial Revisions, decisions regarding the use of the Policy Announcement Procedures described in *Appendix D* will be made by the Sponsoring Office, in consultation with the Policy Office and the Vice Chancellor for Administration.
- If the policy requires Substantial Revision, as defined in this policy: initiate the Policy Development Process as described in this policy, and:

- If the policy remains in effect in its current form while the Sponsoring Office is pursuing Substantial Revisions, the Sponsoring Office must notify the Policy Office in writing that the policy remains in effect in its current form; or
- If the policy in its current form should be eliminated while the Sponsoring Office pursues Substantial Revisions, the Sponsoring Office must notify the Policy Office in writing and specify the date upon which the policy will no longer be effective.

3. Notification Regarding Expired Review Dates:

The Policy office will notify the Responsible Officer and the VCA if the Sponsoring Office has not met its responsibilities under this section.

Use of a Standard Format for Policies

To ensure consistency, UT System Administration has adopted a standard format for its policies. *See Appendix C.*

Issuing, Posting and Announcing Policies; Maintaining Record Copies of Policies

Once the Sponsoring Office has certified completion of the Policy Development Process, as described in Step 11 above, and provided the appropriate documentation to the Policy Office, the Policy Office will issue it in the standard format, embodied in the Policy Template, *Appendix C*, and will post the policy to the Policy Library and the Policy Archive. As specified on the title page of the Policy Template, *Appendix C*, the title page of the policy must include the following information: Responsible Office; Sponsoring Office; Effective Date; Last Reviewed Date; Next Scheduled Review Date; and Policy Office email address for corrections.

The Policy Office will assist the Sponsoring Office in announcing the policy as described in Step 12 of the Policy Development Process. The announcement will include a brief explanation of the policy, the responsible office, and how to access the policy. In addition, if the policy applies to the entire UT System, including all of the institutions, each institution will announce the policy and its terms.

The Policy Office shall retain and manage the record copy of all policies covered by this policy in its Policy Library and the Policy Archive in accordance with the UT System Administration Records Retention Schedule.

APPENDIX A

Policy Development Process Flow Chart

<http://www.utsystem.edu/policy/charts/PolicyDevelopmentProcessChart.pdf>

APPENDIX B

Policy Review Process Chart

<http://www.utsystem.edu/policy/charts/ReviewChart.pdf>

APPENDIX C

Policy Template

<http://www.utsystem.edu/policy/documents/policytemplate.doc>

APPENDIX D

Policy Announcement Procedures

<http://www.utsystem.edu/policy/announcement.html>

Keywords: policies, formulation, policy, policy office, policy development, policy development process, new policy, new policies, administrative
