

**UNIVERSITY OF HOUSTON SYSTEM
ADMINISTRATIVE MEMORANDUM**

SECTION: General Administration

NUMBER: 01.A.01

AREA: Administrative Guide

SUBJECT: Administrative Memoranda System

1. PURPOSE

- 1.1. University of Houston System Administrative Memoranda (SAMs) are intended to specify rules and regulations to implement Board policies, and/or to establish uniform rules, regulations and procedures on matters of overall System concern not addressed in Board policy.
- 1.2. This document describes the process for creating, revising, and publishing SAMs, and their format, enforcement and monitoring.

2. POLICY

- 2.1. In accordance with Board of Regents Policy [01.01.4](#), SAMs shall set forth policy, and procedures only when necessary, common to all components in a well-articulated and understandable manner.
- 2.2. All System personnel shall have access to the SAMs.

3. DEFINITIONS

- 3.1. Policy: a statement of principles and values which help ensure compliance with applicable laws and regulations, promote operational efficiencies, or reduce institutional risks.
- 3.2. Procedure: a defined course of proceeding – often composed of steps, using established forms or methods – to carry out a particular policy.
- 3.3. 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.
- 3.4. Subject-matter expert (SME): an employee who is an expert in a policy-related issue and who typically works with Business Services, and/or the Responsible Party, to create or revise SAMs. May also act as Responsible Party.

4. RESPONSIBILITY FOR ADMINISTRATIVE MEMORANDA

- 4.1. The Chancellor delegates to the Executive Vice Chancellor for Administration and Finance responsibility and authority for establishing the SAM system and publishing, cataloging, and maintaining all official SAMs.
- 4.2. The Chancellor delegates primary responsibility and authority for SAMs content as follows:

<u>Executive Officer</u>	<u>Policy Area</u>
a. Executive Vice Chancellor for Administration and Finance	General Administration Human Resources Facilities Planning and Construction Financial Affairs
b. Senior Vice Chancellor	Academic Affairs Personnel (Faculty and Other Academic Staff) Information Technology
c. Vice Chancellor for University Advancement	University Advancement
d. Vice Chancellor for Governmental Relations	Governmental Relations
e. Vice Chancellor for Student Affairs	Student Affairs
f. Vice Chancellor for Legal Affairs	Legal Affairs
g. Vice Chancellor for Research	Research Intellectual Property Management
h. Chief Audit Executive	Audits

5. AUTHORITY OF SAM

- 5.1. In the event of a conflict between a SAM and any other oral or written policy or procedure within the System, the SAM will govern, and the superseded policy or procedure will be revoked or revised to bring it into compliance with the official SAM.

- 5.2. In the event of a conflict between any SAM and a policy or procedure promulgated by a higher authority (e.g., federal law, state law, Coordinating Board policy, or Board of Regents policy), the higher authority will govern, and the SAM in question will be revised to reflect the policy or procedure of the higher authority.

6. FORMAT

SAMs shall be developed and published in the format indicated by this memorandum, generally consisting of the following key elements:

- 6.1. Header and footer: Name of manual; section name and area name (first header); SAM number; a clear and concise title describing the subject of the policy; date issued; date of most recent revision (if applicable); and page number and total number of pages of the SAM.
- 6.2. Statement of purpose: Cites board policy, legislation, regulations or other basis for the development of the document. This may also include statements of organizational objectives to be achieved by implementation of the policy.
- 6.3. Policy statement: A concise statement of the principle(s) which form(s) the basis of the policy.
- 6.4. Definitions: Definitions of critical terms used in the SAM.
- 6.5. Support information: Additional sections outlining the details of the policy, as required.
- 6.6. Procedures: Typically, SAMs should not include detailed procedure information. Only in cases where procedure is determined and managed on a System wide basis should the SAM contain such information.
- 6.7. Review and Responsibility: A section assigning a responsible party for review and a review cycle.
- 6.8. Approval: Signature lines for formal approval.

7. FORMULATION AND REVIEW

- 7.1. The need to create or revise SAMs may arise anywhere, but every SAM must fall under the jurisdiction of an executive officer (i.e., vice chancellor, associate/assistant vice chancellor, or the Chief Audit Executive) as listed in Section 4.1. The executive officer acts as the Responsible Party for the SAM.

- 7.2. When the need to create or revise a SAM arises, the Responsible Party will assign or act as a SME to create a new draft or identify necessary revisions. The Responsible Party or SME will form a group, including at least one representative from each System component university, to address all pertinent issues related to a given policy prior to the review process and to produce a working draft.
- 7.3. The SME will then contact Business Services to obtain a template (for new documents) or a copy of the existing SAM (for revisions) in electronic form. Upon completion, the SME will provide the new or revised draft to Business Services.
- 7.4. Business Services will issue the draft to all necessary and interested parties and concerns across the System for review.
 - a. 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.
 - b. Any suggested changes to the draft must be submitted in writing, accompanied by a justification or rationale for the change, to Business Services.
 - c. After 20 days, Business Services will forward all responses to the Responsible Party. The Responsible Party will 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. If the SME rejects a change, the SME will notify the reviewer who submitted the change.
 - d. Business Services will submit the redlined draft for review to the System Executive Review committee (SER). The SER will have no more than 10 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.
 - e. Any suggested changes to the draft must be submitted in writing, accompanied by a justification or rationale for the change, to Business Services.
 - f. After 10 days, Business Services will forward any responses to the Responsible Party. The SME will make the approved changes and forward the redlined draft to Business Services.

g. Business Services will prepare a final document and submit it to the Office of the Executive Vice Chancellor for Administration and Finance for submission to the Chancellor for signing. Once signed, the document will be forwarded to Business Services. SAMs will be approved quarterly.

7.5. Certain information within an official SAM 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 to the Chancellor for approval.

7.6. Circumstances may require that a SAM be issued immediately (before the review process can 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 within the expiration or replacement date, the Interim document will expire and will not be subject to official rescindment processes.

8. DISTRIBUTION AND FILING

8.1. Business Services will maintain at least one current set and one archival set of all SAMs.

8.2. All official SAMs will be maintained on the SAM web site accessible via the Internet at <http://www.uhsa.uh.edu/sam/>. All official SAMs will be placed on the web site within 10 working days after being approved and signed. Update notifications can be obtained electronically by registering your e-mail address at <http://www.uhsa.uh.edu/sam/>.

9. IMPLEMENTATION, ENFORCEMENT, AND MONITORING

9.1. The vice chancellors and General Counsel are responsible for monitoring the System-wide implementation and enforcement of those SAMs over which they have assigned authority.

9.2. Component university presidents are responsible for implementing and enforcing all SAMs at their institutions within 30 days of receipt.

10. RESCINDING SAMs

Only the Chancellor has the authority to rescind SAMs and does so only when clear justification exists. However, any System personnel may propose rescission of existing SAMs.

- 10.1. Rescission proposals must be submitted in writing, accompanied by a thorough justification for the rescission to Business Services.
- 10.2. Business Services will forward rescission proposals to the appropriate vice chancellor for his or her review. If the vice chancellor accepts the proposal, he or she will submit the proposal to the Chancellor for review.
- 10.3. Once it has been determined that an existing SAM should be rescinded, notification of this rescission will be communicated to each component university.

11. REVIEW AND RESPONSIBILITY

Responsible Party: Assistant Vice President for University Services

Review: Every three years, on or before March 1

12. APPROVAL

Approved: Carl P. Carlucci
Executive Vice Chancellor for Administration and Finance

Renu Khator
Chancellor

Date: June 9, 2009