



## **Handbook of Operating Procedures Administration**

### **Purpose**

The purpose of this policy is to set forth the rules and procedures for adding policies to or amending policies in the Stephen F. Austin State University (SFASU) Handbook of Operating Procedures (HOP). This includes outlining the process for obtaining input from divisions, departments, and offices, as well as the faculty, staff, or student advisory bodies that may be affected by the new or amended policies and procedures.

### **Persons Affected**

This policy applies to all individuals associated with or on the premises of SFASU, including without limitation employees, faculty, students, visitors, volunteers, contractors, or vendors.

### **Definitions**

**Educational Policy:** Sections of the HOP that pertain to the areas of faculty responsibility as set forth in Regents' *Rules and Regulations*, Rule 40101, Faculty Role in Educational Policy Formulation.

**HOP Committee:** The Committee appointed by the President to review and make recommendations regarding the HOP to the President. The HOP Committee membership includes the following individuals or their respective designees: the Vice Presidents, Faculty Senate President, Staff Council President, Student Government Association President, the Policy Coordinator, the Chief Audit Executive, and other individuals as appointed by the President.

**Policy Coordinator:** Person or office appointed by the President to ensure institutional compliance with this policy.

**Responsible Executive:** The President, or his or her designee, or Vice President, or his or her designee, who is responsible for the programmatic, functional, or administrative areas addressed by the policy and procedure.

**Significant Change:** A change that results in a substantive change in the rule including changes to essential principle(s), scope, or application of the HOP policy or procedure. Editorial changes, changes to reflect university organizational changes, paragraph and outline numbering, and reference citations are not significant changes.

**Stakeholder Review Plan:** A plan for obtaining advisory input from faculty, staff, and student governance bodies that may be affected by changes in HOP policies and procedures. The Stakeholder Review Plan for policies not related to educational matters requires review by all stakeholders within thirty (30) calendar days. The Stakeholder Review Plan for Educational Policies requires review by the Faculty Senate within sixty (60) calendar days.



## **Policy**

The SFASU HOP contains official rules for the governance of SFASU. The governance of the university consists of the policies and procedures affecting the way SFASU directs, administers, or controls SFASU. These policies and procedures may:

- A. Direct compliance with applicable state and federal laws and regulations, University of Texas System Regents' *Rules and Regulations* and policies, or other policies with System-wide application;
- B. Address or affect the responsibility or authority of the various offices and bodies that make up SFASU; or
- C. Address the relationships between administration, faculty, students, and staff in relation to institutional values or goals.

The President of SFASU is responsible for developing and administering the rules and regulations for the governance of SFASU. The President may delegate responsibility for coordination of policy development and review to a Policy Coordinator. The development and review process will include an opportunity for faculty, staff, and student advisory bodies to provide input regarding proposed changes to policies that may impact the respective groups. All rules and regulations or amendments to the HOP must be approved by the President and by either SFASU's Vice President and General Counsel or the Vice Chancellor and General Counsel of The University of Texas System. At a minimum, each HOP policy is to be reviewed every five years.

The HOP does not constitute a contract between SFASU and its employees.

The policies constituting the HOP must not conflict with any state or federal law; state or federal regulation; or rule or regulation found in the *Rules and Regulations* of the Board of Regents of The University of Texas System (Regents' *Rules and Regulations*). Any rule or procedure within a HOP policy that conflicts with any state or federal law; state or federal regulation; or rule or regulation in the Regents' *Rules and Regulations* is null and void and has no effect.

Policies, rules, and guidelines adopted by individual SFASU units are not subject to the approval process described in this policy. However, all such policies, rules, or guidelines adopted by an individual SFASU unit must be consistent with the SFASU HOP and the Regents' *Rules and Regulations*, and any unit-level policy found in conflict with the SFASU HOP or Regents' *Rules and Regulations* is null and void.

## **Procedures**

### **Policy Format**

Each policy will have a title that is concise but descriptive.

Each policy is indexed with a numeric indicator which indicates the position of the entry within the HOP. Each policy contains two sets of numbers separated by a dash. The number preceding



the dash refers to the subject area and the number following the period identifies the sequentially numbered policy within that subject area.

Generally, each policy will have the following captions, defined as follows:

- **Purpose:** This section will contain a concise description for the policies objective.
- **Persons Affected:** This section will contain a statement as to whom the policy applies.
- **Definitions:** This section will define specialized terms within the policy.
- **Policy:** This section will contain an overall policy description which meets its stated purpose.
- **Procedures:** This section will contain the procedures to implement the stated purpose and policy objective.
- **Related Statutes or Regulations, Rules, Policies, or Standards:** These consist of other policies or statutory references that may have a direct impact upon the policy.
- **Responsible Executive:** This caption indicates the position title of the senior university administrator who has been delegated by the President with the overall responsibility of administering this policy. This caption should state either the president, vice president, or other division head to whom the president has delegated this responsibility. If the policy is a university-wide policy, the responsible office listed is president; if the policy affects or is administered by a division of the university, the vice president or other division head is listed.
- **Forms:** Forms necessary to implement the policy are listed by title, followed by a parenthetical reference which indicates where the form may be obtained.
- **Revision History:** This caption provides the revision dates of the policy for the previous ten years.

Each policy will have a footer containing the page number and title of the policy.

Policies will be styled consistent with the most recent version of the *Associated Press Stylebook*.

### **Process for Proposal or Revision of Policies**

- A. **Designations and Responsibilities:** The Policy Coordinator will chair the HOP Committee. The HOP Committee will review all HOP sections and, for each section, is responsible for: (i) designating a Responsible Executive; (ii) determining a periodic review schedule; (iii) designating, with the concurrence of the Faculty Senate, whether it pertains to the areas of faculty responsibilities in educational policy formulation; and (iv) developing a Stakeholder Review Plan.



## B. HOP Review Process

### 1. Policies Not Related to Educational Matters

- a. A university office proposing a new HOP section will draft the policy, in correct HOP format, and prepare a Policy Summary Form. A university office proposing a HOP amendment will prepare a draft in redline form along with a completed Policy Summary Form. The proposing office will route the documents through the appropriate Responsible Executive(s) or their designees.
- b. The Responsible Executive will submit the proposal to the Policy Coordinator who will confirm the appropriate Stakeholder Review Plan.
- c. The Policy Coordinator will distribute the proposed HOP policy in accordance with the Stakeholder Review Plan and timelines.
- d. Advisory input from Stakeholders returned timely to the Policy Coordinator will be provided to the Responsible Executive for consideration.
- e. The Responsible Executive will submit the proposed HOP policy with any incorporated changes to the HOP Committee.
- f. A majority of the HOP Committee must approve the proposed HOP before it may be advanced in the approval process.

### 2. Educational Policy

- a. New or amended Educational Policies will be reviewed in accordance with the process described in B.1 a-f.

### 3. Periodic Review Schedule

- a. Policies set for review in accordance with the periodic review schedule (regardless of whether it is related to an Educational Matter) will be reviewed in accordance with the process described in B.1 c-f.

### 4. HOP Policies with No Significant Changes: Proposed changes to HOP sections that are not significant do not need to be approved in accordance with this policy or reviewed by the appropriate Executive Vice Chancellor or Vice Chancellor and General Counsel. The Policy Coordinator shall determine whether the change is significant.

## C. Each policy in the HOP will be reviewed in accordance with the review schedule and timelines using the applicable process in described in section B above.

## D. After approval by the HOP Committee, the Policy Coordinator will submit the proposed HOP policy to the Office of the General Counsel and the President for review and approval. The submission should include any changes shown in redline form and the Policy Summary Form.



- E. The Policy Coordinator will notify the HOP Committee and Responsible Executive regarding the resolution of any comments received from the Office of the General Counsel and the President and make conforming changes as needed. Recommendations and comments from university attorneys are legal advice provided to university administration and are to be treated as privileged and confidential attorney-client communications.
- F. The Policy Coordinator will notify the university community regarding approved HOP amendments by placing them in the HOP.
- G. The Policy Coordinator and Vice President and General Counsel are authorized to revise contact information, position title changes, or as necessary to ensure compliance with this policy. Additionally, the Policy Coordinator and Vice President and General Counsel may modify the structure and format of the Handbook of Operating Procedures as needed to increase its usability and effectiveness.
- H. Provisional Policy: At the discretion of the president, a provisional HOP policy may be implemented when federal or state laws, regulatory actions, or compelling circumstances make expedited policy implementation prudent or necessary. Stakeholders shall be notified prior to the implementation of a provisional policy. Normal review of a provisional policy shall commence no later than the first week of the following semester and can be initiated by any stakeholder before that time.

### **Related Statutes or Regulations, Rules, Policies, or Standards**

Regents' *Rules and Regulations*, Rule 10100, Rule of *Rules and Regulations*

Regents' *Rules and Regulations*, Rule 20201, Presidents

Regents' *Rules and Regulations*, Rule 40101, Faculty Role in Educational Policy Formulation

### **Responsible Executive**

President

### **Forms**

Policy Template; Policy Summary Form

### **Revision History**

September 1, 2023 (original)

May 6, 2024