

## Policy 1-200

### The Handbook of Operating Policies

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#### I. Title

The Handbook of Operating Policies

- II. **Policy** **The Office of the President of UTA shall publish the [Handbook of Operating Policies](#) (HOP).** After an addition or amendment has been approved in accordance with the Regents' [Rules and Regulations](#), the Policy Coordinator will notify the UTA campus as noted in [II.I.](#)

#### A. Amendments

1. The UTA Handbook of Operating Policies contains official policies and procedures for the governance of UTA. The HOP must not conflict with any rule or regulation in the Regents' *Rules and Regulations*. Any HOP policy or procedure that is in conflict with any rule or regulation in the Regents' *Rules and Regulations* is null and void and has no effect.
2. The President of UTA has the authority and responsibility to approve the rules and regulations constituting the HOP. The President has designated the University Attorney as the Policy Coordinator responsible for coordination of policy development and review. The development and review process will include an opportunity for faculty, staff and student governance bodies to provide advisory input regarding proposed changes to policies that may impact the respective groups.

- B. This policy applies to any significant change to the institution's HOP, including the addition or deletion of policies and procedures.

- C. The purpose of this policy is to set forth the process for amending the institution's HOP including obtaining input from faculty, staff and student

governance bodies that may be affected by changes in policies and procedures.

D. 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 designating a responsible executive; determining a periodic review schedule; designating whether it pertains to the areas of faculty responsibility in educational policy formulation, and ensuring that all identified stakeholders are afforded an opportunity to review proposed changes

E. 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 statement of background and rationale for the new policy. (The Policy Coordinator can direct the author to the Legal Affairs policy analyst for assistance.) The current format has been approved by the University of Texas System Office of General Counsel and must be applied to all new policies submitted after November 14, 2008. For further clarification, please refer to *Policy Template Format Guidelines* ([Exhibit 24-1](#)). All questions concerning the policy format should be directed to the Office of University Compliance and Legal Affairs.
- b. A university office proposing a HOP amendment will prepare a draft indicating requested revisions along with a statement of background and rationale for the amendment. The author may request assistance from the policy analyst if needed. The proposing office will route the documents through the appropriate dean, director, or administrative equivalent to the responsible executive.
- c. The responsible executive will submit the proposal to the Policy Coordinator who will distribute it to the University Attorney and the HOP Committee for review and approval. The HOP Committee will confirm the Stakeholder Review Plan and develop a stakeholder review timeline that takes into consideration the best interests of the institution regarding timely implementation of the proposed HOP policy including, but not limited to, legal or otherwise mandated deadlines for policy implementation.
- d. The Policy Coordinator will distribute the proposed HOP policy in accordance with the Stakeholder Review Plan and timeline.
- e. Advisory input from Stakeholders returned timely to the Policy Coordinator will be provided to the Responsible Executive for consideration.
- f. The policy analyst will incorporate drafted changes and adjust formatting as needed. The draft will be returned to the Policy

Coordinator, who will forward the draft to the responsible executive and the HOP Committee for review.

- g. When a majority of the HOP committee has approved the proposed HOP policy, it will be reviewed by the University Attorney prior to submission to the President for final review and approval. The responsible executive and the HOP committee will be notified of any substantive changes made.

## 2. Educational Policy

- a. New or amended Educational Policy will be reviewed in accordance with [Section F.1\(a\) - \(g\)](#).
- b. The Stakeholder Review Plan must include review by the faculty governance body.
- c. The faculty governance body will review the policy within a reasonable length of time (60 calendar days or less).

## 3. HOP Policies with no Significant Changes

- a. Proposed changes to HOP sections do not need to be approved in accordance with this policy or reviewed by the Executive Vice Chancellor or Vice Chancellor and General Counsel if the changes are not considered to be significant. The Policy Coordinator shall determine whether the change is significant.

- F. Each policy in the HOP will be reviewed in accordance with the review schedule and timeline.
- G. After approval by the President, the Policy Coordinator will submit the proposed HOP policy to the appropriate UT System Executive Vice Chancellor and the Vice Chancellor and General Counsel for review and approval. The submission should indicate any changes and provide a brief background and rationale for the proposed policy.
- H. If UT System review is required, the Policy Coordinator will notify the HOP Committee and responsible executive regarding the resolution of any comments received from UT System 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.
- I. The Policy Coordinator will place approved amendments in the HOP and notify the university community as needed. Methods of notification will vary according to the segment(s) of the university community impacted by the change.
- J. Interpretation: the President shall be the ultimate institutional authority to interpret the meaning of the provisions contained in the Handbook of Operating Policies and the jurisdiction of the committees provided for therein and may seek legal advice from the University Attorney on questions of jurisdiction and interpretation. The President may submit questions concerning jurisdiction of

committees and interpretation of the meaning in the Handbook of Operating Policies to the Rules and Elections Committee, as appropriate, for recommendation.

K. University Procedures, Forms, and Exhibits

1. Procedures, forms and exhibits that support and implement university policies will also be included in the HOP.
2. University procedures, forms and exhibits may be reviewed by the University Attorney, who may solicit input from major stakeholders. Any substantive changes proposed to the initial draft will be reviewed by the publishing department and its responsible executive.

L. Policies, Procedures, Forms and Exhibits Excluded from the HOP

Departmental policies, procedures, forms and exhibits, instructional materials including materials developed for system user documentation and training, and supplemental guidelines and best practices do not require HOP Committee review or publication in the HOP; however, their content must align with policies and procedures in the HOP. References to the official policies and procedures should be accompanied by links to the published versions to ensure current content.

- M. Alternative and conflicting versions of policies and procedures not published in the HOP are not official and the University is not bound by their content. Policies and procedures impacting two or more departmental units and not published in the HOP may not be considered official.

### III. 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.

**Governance of the Institution:** Policies and procedures, except medical procedures or protocols, affecting the way the institution directs, administers or controls the institution. Governance includes policies and procedures:

- directing university compliance with applicable state and federal laws and regulations, Regents' *Rules and Regulations*, UT System policies and policies with System-wide application;
- addressing or affecting the responsibility and/or authority of the various offices and bodies that make up the institution; and
- addressing the relationships between administration, faculty, students, and staff and institutional values and/or goals.

**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 President or his or her designee, the Vice Presidents or their

respective designees, the Faculty Senate Chair, Staff Advisory Council Chair, Student Congress President, the Policy Coordinator and other individuals as appointed by the President.

**Policy Coordinator:** Person or office appointed by the institution's President to ensure institutional compliance with this policy through the coordination of policy development and review. The University Attorney serves as the Policy Coordinator for UTA.

**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 institutional 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.

**Policy Analyst:** Person responsible for assisting the authors of new policies and amendments to existing HOP policies as needed. Assistance may consist of content research, alignment with standard approved HOP policy format and University of Texas at Arlington style standards, or edits to grammar, spelling, and punctuation.

**University Attorney:** All amendments and drafts of new policies will be reviewed by the University Attorney prior to final approval by the President.

#### IV. **Relevant Federal and State Statutes**

N/A

#### V. **Relevant UT System and UTA Policies, Procedures, and Forms**

- UT System Regents' [Rules and Regulations](#), Rule 40101, Faculty Role in Educational Policy Formulation
- UT System Regents' [Rules and Regulations](#), Rule 10100, Rule on Rules and Regulations
- UT System Regents' [Rules and Regulations](#), Rule 20201, Presidents
- *Handbook of Operating Policies Policy Template Format Guidelines* ([Exhibit 24-1](#))

#### VI. **Who Should Know**

University offices preparing a new HOP policy, an amendment to an existing HOP policy, or a procedure that supports and implements an existing HOP policy.

#### VII. **UTA Officer(s) Responsible for Policy**

The University Attorney

VIII. **Dates Approved or Amended**

- June 13, 2008
- November 14, 2008
- January 7, 2010
- August 21, 2017

IX. **Contact Information**

All questions concerning this policy should be directed to the University Attorney, Office of University Compliance and Legal Affairs.