



Institutional Handbook of Operating Procedures
Policy 01.01.03

Section: Official Governance	Responsible Vice President: Chief Compliance Officer
Subject: Official Governance	Responsible Entity: Office of Institutional Compliance

I. Title

Institutional Policy Development, Approval, and Maintenance

II. Policy

UTMB officers, faculty, staff, and students are subject to applicable federal and state laws, the Rules and Regulations of the Board of Regents of The University of Texas System (Regents), The University of Texas System Administration (U.T. System) system-wide policies, UTMB’s Institutional Handbook of Operating Procedures (IHOP), as well as department and office policies and procedures.

UTMB’s policies and procedures (including school, department, and office policies and procedures) will not conflict with the Regents’ Rules and Regulations or U.T. System policies. Any policy or procedure that is in conflict with the Regents’ Rules and Regulations or U.T. System’s policies is void and has no effect. Any such policy or procedure will be revised immediately to remove any conflicts with Regents’ Rules and Regulations or U.T. System’s policies.

The IHOP is the official document containing the policies and procedures for governance of the institution. Policies connect UTMB’s mission to individual conduct, clarify institutional expectations, support compliance with law and regulation, mitigate institutional risk, and enhance productivity and efficiency in operations. Policies included in the IHOP are those required by law or regulation or those affecting multiple areas of the institution, such as those policies and procedures that:

1. Direct compliance with applicable federal and state laws and regulations, Regents’ Rules and Regulations, and U.T. System policies and procedures;
2. Address or affect the responsibility and authority of various offices and bodies;
3. Address the relationship between administration, faculty, students and staff; or,
4. Outline institutional standards and goals.

All officers, faculty, staff, and students are responsible for reviewing and adhering to all IHOP, department, and office policies. Violation of this policy may result in disciplinary action up to and including: termination for employees; termination of employment relationship in the case of contractors or consultants; or discipline that may include suspension or expulsion in the case of a student. Additionally, individuals may be subject to loss of access privileges, as well as civil and/or criminal prosecution.

The President of UTMB has delegated responsibility for coordination and oversight of the IHOP to the Office of Institutional Compliance (OIC) under supervision of the Chief Compliance Officer (CCO). The OIC is responsible for coordinating policy development and review to ensure that UTMB’s policies are consistent with UTMB’s mission; properly developed and regularly updated to remain compliance with the law; and easy to access and understand.

This policy provides uniform and systematic procedures for developing, maintaining, and withdrawing IHOP policies and procedures. The procedures must be followed, and any policies and procedures developed, revised, or withdrawn in violation of this policy will not be published in the IHOP.

III. Procedure

A. Responsibility for Policy Development, Maintenance, and Implementation

1. The [Responsible Vice President](#) is accountable for the substance of IHOP policies under his or her jurisdiction. In accordance with this, the Responsible Vice President must:
 - a. Identify the need for and purpose of the policies in relation to a subject that falls under his or her jurisdiction;
 - b. Identify the need for new policies or revisions to existing policies in response to changes under applicable state or federal law, regulation, code or rule, Regents' Rules, U.T. System policy, or accreditation agency requirements;
 - c. Designate a Responsible Entity to develop and administer each policy;
 - d. Approve drafts of policies before submission to [working groups](#) and committees, or designate a Responsible Entity to do so;
 - e. Grant final approval of drafts before submission to the President for approval and,
 - f. Ensure timely review of existing policies under his or her jurisdiction.

2. In consultation with the Responsible Vice President, the [Responsible Entity](#) will be accountable for development and maintenance of assigned policies, including:
 - a. Developing new policies;
 - b. Reviewing and updating existing policies, in a timely manner;
 - c. Submitting policies for review and approval in accordance with the procedures set out in this policy;
 - d. Seeking and considering incorporation of [stakeholder](#) input; and,
 - e. Implementing policy, including training, and establishing any other support systems to achieve compliance with new or substantively revised policies.

3. Ownership Disputes. If there is a dispute related to ownership of an IHOP policy, the OIC will assign responsibility for the policy in consultation with the Responsible Vice President(s).

4. Assistance with IHOP Policy Development and Management. The OIC is available to assist Responsible Vice Presidents and entities in all aspects of policy development and maintenance.

5. School, Department, and Office Policies. School, department, and office policies and procedures are not subject to the approval processes contained in this policy. Each area may create an internal process for developing, revising, and approving policies. In addition to coordinating and overseeing the IHOP process, the OIC is available to assist in developing, reviewing, and revising school, department, and office policies.

B. Policy Approval Procedures

This policy presents procedures for approving modifications to policies in the IHOP. The procedure that will be followed is dependent upon the proposed modification to the policy. These procedures are summarized below:

1. New or Substantive Revisions: New policies and those policies with substantive revisions will undergo a comprehensive review which includes the following elements:
 - a. Legal review,
 - b. Compliance review,
 - c. Committee review, when applicable,
 - d. 14-day open comment period providing the UTMB community an opportunity to participate in the policy development process,
 - e. Faculty Senate review,
 - f. Responsible Vice President Approval,
 - g. UT System approval, when required;
 - h. President approval. _
2. Non-Substantive Revisions: Policies requiring only editorial revisions, such as language, definitions, references, citations, and grammar will be approved through an abbreviated process requiring review by Compliance and approval by the Responsible Vice President.
3. Expedited: There are rare circumstances which require a new or substantively revised policy to be approved immediately. In those instances, a policy may be instituted following a legal and compliance review with approval by the President.
4. Withdrawal: In certain circumstances, a Responsible Vice President may deem it appropriate to withdraw an existing policy or consolidate the content with another policy. The procedure for obtaining approval to withdraw a policy from the IHOP is dependent upon the reason for withdrawal. If the content of the policy being withdrawn is being consolidated with an existing policy, and there are no substantive revisions, withdrawal of the policy is approved in accordance with the Non-Substantive Revisions approval process as outlined in III(B)(2) above. All other policy withdrawals follow the Substantive Revisions approval process as outlined in III(B)(1) above.
5. Administrative Considerations:
 - a. New policies should be drafted in the policy template format as set by OIC.
 - b. Revisions should be drafted using redlining or track changes within the editable document version of the existing policy.
 - c. Each time a policy is revised or reviewed without revision, the Responsible Vice President and the Responsible Entity should be confirmed or correctly redesignated.
 - d. OIC will set the internal timelines and tasks necessary to comply with III(B)(1)-(4) above.
6. Triennial Review: An IHOP should be reviewed every three years, even if no revisions are necessary. Failure to review an IHOP during that time period does not impact the efficacy of a policy, and an IHOP remains in force regardless of the timing of the most recent review.

IV. Definitions

Non-Substantive Revision- Editorial or technical revisions, for example revisions reflecting institutional changes, such as language, definitions, reference citations and grammar.

President- acting President for UTMB.

Responsible Entity- Office, department, body, or individual designated by the Responsible Vice President to develop and implement a policy, communicate with and train the university community on

its requirements, and execute its timely updating and revisions. Examples of possible responsible entities include the Council of Deans, Human Resources, and Nursing Services.

Responsible Vice President- Refers to the Executive Vice President of UTMB’s Academic, Health System, and Business & Finance divisions. In those areas that report directly to the President, the term refers to the Senior Vice President, Vice President, or Associate Vice President, whichever is highest ranking for the unit. Depending upon the scope of its subject matter, a policy may have more than one Responsible Vice President.

Stakeholder- Individual, function, or organization identified by the policy owner, whose role or professional expertise relates to the subject of the policy, and who, therefore, is consulted for comment on the draft.

Substantive Revision- A considerable or significant revision to the essential scope or purpose of a policy or procedure that changes the current practice, procedure, or actions required by a policy.

Working groups- Includes committees, faculty bodies, etc. (Example: CAPP Committee, Council of Deans, and Faculty Senate).

V. Relevant System Policies and Procedures

[Board of Regents’ Rule 10100, Rule on Rules and Regulations](#)

[Board of Regents’ Rule 10501, Delegation to Act on Behalf of the Board](#)

[Board of Regents’ Rule 20201, Presidents](#)

[Board of Regents’ Rule 40101, Faculty Role in Education Policy Formulation](#)

VI. Dates Approved or Revised

<i>Originated: 10/13/2014</i>	
<i>Reviewed with Changes</i>	<i>Reviewed without Changes</i>
07/15/2016	
10/13/2017	
07/02/2024	

VII. Contact Information

Office of Institutional Compliance
 (409) 747-8710 or policies@utmb.edu