HSC OP: 10.01, Operating Policies and Procedures for TTUHSC

PURPOSE: The Health Sciences Center Operating Policy and Procedure (HSC OP) system was instituted in order to standardize TTUHSC policies and procedures and to provide a consistent and coherent method of defining TTUHSC policies. The system is intended to:

1. Provide a TTUHSC-wide pattern for developing policies and procedures;
2. Outline a standard format for policies and procedures;
3. Maintain a current and easily accessible online manual of all TTUHSC policies and procedures;
4. Provide notification of policy and procedure changes to the TTUHSC community;
5. Facilitate continuity regardless of changes in personnel assignments; and
6. Ensure the periodic review and updating of all TTUHSC policies and procedures.

All TTUHSC policies and procedures should be developed in the format indicated in this HSC OP and processed through the approval procedures as set out herein.

REVIEW: This HSC OP will be reviewed on March 1 of each odd-numbered year (ONY) by the Office of the Vice President and Chief Financial Officer (VP/CFO), with recommendations for revision forwarded to the President by March 15.

POLICY/PROCEDURE:

1. Authority.
   Section 02.04.2.j, Regents' Rules

   The Board of Regents of the Texas Tech University System has directed the president of TTUHSC, with the appropriate participation of faculty and staff, to cause to be prepared and submitted to the chancellor the operating policies, procedures, rules, and regulations for the governance of TTUHSC, provided that any policy, procedure, rule, or regulation in any such institutional operating manuals that is in conflict with any policy, procedure, rule, or regulation in the Regents’ Rules, is null and void and has no effect.

   The Office of the Vice President and Chief Financial Officer is responsible for maintaining the Operating Policies for TTUHSC.

2. Format.
   a. All HSC OPs for TTUHSC will follow the format used here. There will be three major sections as follows:

   PURPOSE
   REVIEW
   POLICY/PROCEDURE

   b. The PURPOSE section should provide a rationale for the policy/procedure. The rationale might be a reference to a legal requirement, (the General Appropriations Act, State Constitution, Regents’ Rules), a statement of the goals which the HSC OP is attempting to facilitate, or a description of the reason(s) for implementing the policy.
c. The REVIEW section should define the individual(s) responsible for reviewing the HSC OP and the date the review takes place.

d. The POLICY/PROCEDURE section should explain the specifics (who, what, when, where, how, and why) of the policy/procedure.

e. The heading and format of all HSC OPs should be similar to this document.

3. Development of a New HSC OP.

a. Any department head at TTUHSC may propose a new policy or procedure by routing the suggestion through administrative channels for review and approval.

b. The flow for the creation of a new OP is illustrated below:
   (1) Department head develops the new OP;
   (2) Responsible VP or Dean reviews and approves;
   (3) Draft of new OP is sent to the Office of the VP/CFO;
   (4) Office of the VP/CFO assigns a number to the new OP; and
   (5) OP is sent for final approval to the persons listed in the REVIEW section who are responsible for reviewing the OP.

   The reviewers should carefully examine the draft OP. If a change is necessary, it should be noted in red ink on a hard copy, or in legislative format on the electronic copy provided. The reviewer should sign the transmittal letter and return the entire document to the Office of the VP/CFO for revision.

   If the reviewer makes no changes, he/she should sign the transmittal letter and return the entire document to the Office of the VP/CFO.

   The responsible Vice President or Dean will conduct a cursory review of the OP before signing. If he/she approves, he/she will sign the transmittal letter and forward the OP to the Office of the VP/CFO, who will publish the new OP online and notify the TTUHSC community by posting on the TTUHSC announcements page.

   The Office of the VP/CFO will use a tracking system for follow-up of the review process.

4. Revision of an HSC OP.

a. To maintain an accurate and effective set of operating policies and procedures, it is necessary that all HSC OPs have a regular schedule of review and be revised when necessary. HSC OPs stay in full force and effect until republished, whether or not they have been through the scheduled review process.

b. An HSC OP can be revised at any time, not only during its scheduled review cycle. Anyone wishing to recommend revisions should forward them to the primary reviewer identified in the REVIEW section, or forward to the Office of the VP/CFO for routing. All revisions will follow the procedure outlined in Section 2.

c. The Office of the VP/CFO will notify the responsible reviewer when an HSC OP is scheduled for review by sending a transmittal letter along with a copy of the OP to be reviewed.

   (1) The Reviewer responsible for a scheduled review of an HSC OP should make the suggested revisions in red ink on a hard copy, or in legislative format on the electronic copy provided, and return to the Office of the VP/CFO within ten (10) working days from the date on the memo.

   (2) Any department head may suggest updating, revising, or deleting an HSC OP by sending a written request through appropriate administrative channels. If, at the
request of a department head, an HSC OP should be revised or deleted before the scheduled review cycle, the request should indicate clearly why the author suggests the review should be undertaken immediately.

5. **Operating Policy Approvals and Numbering Plan.** Operating policies are to be approved by the reviewer and the designated administrator for the specific area of the policy. However, any HSC OP from any area in which the Chancellor wishes to personally approve and maintain a high level of involvement will be placed in Category 01. Any HSC OP in which the President wishes to personally approve and maintain a high level of involvement will be placed in Category 10.

6. **Policy versus Procedure.** For purposes of the HSC OP Manual, no distinction will be made between "Policy" and "Procedure", as most HSC OPs contain both. It is a basic philosophy of the HSC OP System that both policies and procedures which are developed and approved under the authority of the TTUHSC Administration will be included within the TTUHSC Operating Policy and Procedure Manual.

7. **Publication.** The procedures for publication are as follows:
   a. HSC OPs are available online only. The Office of the VP/CFO will publish approved HSC OPs on the TTUHSC OP website, which can be found online at [www.ttuhsc.edu/HSC/OP](http://www.ttuhsc.edu/HSC/OP).
   b. The Office of the VP/CFO will post a notice on the TTUHSC Announcements Page accessed on the TTUHSC website at [http://announcements.ttuhsc.edu](http://announcements.ttuhsc.edu) each time HSC OPs have been published.
   c. Those departments who wish to maintain HSC OP Manuals may print the online OPs upon notification of a new publication and place in their manuals.
   d. TTUHSC OP Manuals are available for reference in the TTUHSC Libraries, Reference Sections, on all HSC campuses. It is the responsibility of the Library administration to maintain up-to-date OP Manuals.

8. **Higher Authorities.**

   The HSC OPs are subordinate to higher authorities, including federal law, rules, and regulations; state law, rules, and regulations; and Regents’ Rules.

   a. Should there occur at any time a conflict between a policy and/or procedure of an HSC OP, and a policy or procedure as reflected in documents of a higher authority (e.g., federal law, state law, Coordinating Board policy, Regents’ Rules), the policy and/or procedure document of higher authority will prevail.

   b. Should there occur at any time a conflict between a policy and/or procedure of an HSC OP, and a policy or procedure of any other written or oral policy developed by an operating unit at TTUHSC, the policy and/or procedure of the HSC OP will prevail.

9. **Disclaimer Statement.** TTUHSC reserves the right to interpret, change, modify, amend or rescind any policy in whole or in part at any time without the consent of employees.