UNIVERSITY OF TENNESSEE CHATTANOOGA

OPERATING POLICY AND PROCEDURE SYSTEM

Purpose

This Operating Policy and Procedure system was developed to standardize the University of Tennessee at Chattanooga ("UTC") operating policies and procedures (OPs) and to provide a consistent and coherent method of defining university policies. The system is intended to:

- Provide a pattern for developing policies and procedures for UTC;
- Outline a standard format for policies and procedures for UTC;
- Maintain a current and easily accessible online manual for all UTC policies and procedures;
- Provide notification of policy and procedure changes to the UTC community;
- Facilitate continuity regardless of personnel assignments changes; and,
- Ensure the timely review and updating of all UTC policies and procedures.

Policy

All UTC policies and procedures must comply with the conditions and procedures that are outlined in this document, which defines a policy, explains the standardized policy format, outlines the steps for formulating, approving, revising, and reviewing policies and procedures.

Procedure

I. Policy Defined
    A policy is a written statement that has been approved by the Chancellor and describes the university's stance on a particular subject and/or its response to a specific situation. For purposes of UTC's policy and procedure system, operating policies and procedures do not include those policies that require Board of Trustee or University of Tennessee System approval.

II. Format
    Although substance is more important than style, the format of new OPs should be clear enough to reflect its intended objective. All OPs will have the following five major sections:

    - Purpose
    - Policy
    - Procedure
    - Review
    - Authorization

    A. The *Purpose* section should provide a rationale for the policy. The rationale might be a reference to a legal requirement, a

statement of the goals which the OP is attempting to facilitate, or some other description of the reasons for the implementation of the policy.

B. The *Policy* section should provide a brief general description of the university's stance on particular subjects and/or its response to specific situations.

C. The *Procedure* section should explain the specifics of implementation (who, what, when, where, and how) of the policy.

D. The *Review* section should specify the Responsible Administrator (Direct report of the Chancellor) for the OP and the date the review takes place.

E. The *Authorization* section should provide signature lines for those individuals responsible for the OP's recommendation, review, and approval. The policy should be signed by the Responsible Administrator who is recommending the policy, the chair of the Policy Review Committee and the Office of General Counsel ("OGC") as reviewers of policy, and the Chancellor for approval.

II. Policy Review Committee

A. For purposes of review and update of the operating policies and procedures, there shall be a Policy Review Committee ("PRC") appointed by the Chancellor and comprised of an appropriate individual from each of the following units, the Chancellor's Office, Academic Affairs, Human Resources, Athletic Department, Business Affairs, Student Development, University Relations, Office of Safety and Risk Management, and the Office of General Counsel. The senior administrator in a unit will appoint a designee or may choose to serve. The Faculty Senate President will serve as a member of the PRC.

B. The PRC shall meet the first week of January, April, July and October. The PRC will designate a Chair during its July meeting to serve for one year. The Chair of the PRC may convene meetings as needed.

III. Development of an Operating Policy/Procedure (OP)

A. Anyone at UTC may propose a new policy/procedure, or a revision to an existing one, by routing the suggestion (in the

proper format) through administrative channels for review and approval.

B. The flow for the creation of a new OP is illustrated below and in Schedule A attached:
1. The individual submits the proposal to his/her supervisor.
2. The supervisor reviews and may recommend to the next higher level within the division's administrative channel until the proposal reaches the Responsible Administrator to whom he/she is accountable.
3. The Responsible Administrator reviews the proposal and requests that a draft OP be developed by the appropriate person(s).
4. Upon completion of the draft OP, the Responsible Administrator places the proposed OP on the PRC agenda for review to ensure compliance with existing OPs and applicable federal, state, and Board of Trustee's regulations. The proposed OP should be accompanied by a statement of reason(s) for and the expected impact of the proposed policy.
5. PRC members will have two weeks to review the OP and submit suggested changes in writing to the Chair of the PRC. Substantive changes must be accompanied by a justification or rationale for the change. If there is a question whether or not a change is substantive, it should be treated as substantive. Failure to respond within two weeks will be considered an acceptance of the draft.
6. After review, the PRC forwards the draft OP to OGC for legal review.
7. When the finalized draft OP has cleared OGC, the Chair of the PRC places the proposed OP on the Executive Team's agenda for review. The proposed OP should be accompanied by the statement of reason(s) for and the expected impact of the proposed policy.
8. Executive Team members will have two weeks to review the OP and submit suggested changes in writing to the Chair of the PRC. Substantive changes must be accompanied by a justification or rationale for the change. If there is a question whether or not a change is substantive, it should be treated as substantive. Failure to respond within two weeks will be considered an acceptance of the draft.

9. The Responsible Administrator, in consultation with PRC and OGC, will determine which changes, if any, to include in the draft policy. The revised draft policy will be presented to the Chancellor for review and approved within thirty (30) days of receipt.

C. Upon approval by the Chancellor, the original signed policy is to be forwarded to University Relations and a copy sent to the Responsible Administrator. University Relations will appropriately number, format, and maintain the policy on the Official University Operating Policy and Procedure web page.

D. Upon notice of a new policy, the Chancellor, Vice Chancellors, OGC, Deans, Directors and Department Heads shall inform those within their division/unit of the new policy. All University brochures, pamphlets, web pages, or other literature/information affected by the new policy are to be updated as soon as possible. Posting of all policies to the University Policy and Procedure webpage (http://www.utc.edu/academic-affairs/policies-procedures/index.php) is the responsibility of Academic Affairs and should occur within seven days of policy or procedure approval.

IV. <u>Review and Revision of an Operating Policy/Procedure (OP)</u>

A. To maintain an effective set of operating policies and procedures, all OPs must have a regular schedule of review and revision. The Responsible Administrator and the timing of the review shall be specified with all OPs being reviewed at a minimum of once every four years.

B. An OP can be revised at any time, not just during its normal review process. Anyone wishing to recommend revisions should forward a written suggestion through channels to the appropriate Responsible Administrator. If an OP should be revised or canceled before the regular review cycle, the memorandum for the suggestion should indicate clearly why the author suggests the review should be undertaken immediately.

C. When revision is necessary, the Responsible Administrator will follow section III., "Development of an Operating Policy/Procedure (OP)."

D. When an OP is revised, it is reissued with a notation "Revised (date)" placed in the lower right corner below the OP number and original issue date.

E. When reviewed OPs require no substantive revision, the Responsible Administrator will, within ninety days of the specified review date, forward a signed copy of the reviewed OP with a notation "Reviewed (date)" placed in the lower right corner below the OP number and original issue date to the PRC for review. The PRC will review, sign, and forward the draft OP to OGC for legal review. Once the OP has been reviewed and signed by OGC it will be forwarded to the Chancellor for review and approval. Upon approval by the Chancellor, the original signed policy is to be forwarded to University Relations and a copy sent to the Responsible Administrator.

F. OPs that have not been revised or reviewed within four years will be automatically forwarded to the Chief of Staff by the PRC for review and appropriate action. Prior to the PRC forwarding the OP to the Chief of Staff, the PRC Chair will notify the Responsible Administrator that the OP is up for review.

G. The PRC shall be responsible for and have authority to make minor or routine changes to policy, such as the updating of a title or department name listed in a policy or the correction of typographical errors. Minor changes shall be made with the consultation and agreement of the Responsible Administrator for review of as is indicated in the Review section of the policy.

H. Certain information within an OP 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 individuals indicated in the *Authorization* section for approval signature.

V. Authority

A. Should there be or should there occur at any time a conflict between an OP and a document of a higher authority (e.g., federal law, state law, policies/by-laws of the Board of Trustees), the document of higher authority will prevail.

B. Should there occur at any time a conflict between two OPs, the most recently approved OP will prevail.

C. Should there occur at any time a conflict between an OP and any other written or oral statement developed by any operating unit at the university, the OP will prevail.

VI.   Identification Plan

Operating policies/procedures will be classified and numbered according to the following plan.

Volume I: Presidential Matters

Section 1. Board of Trustee Policies and Bylaws
Section 2. General Counsel

Volume II: Chancellor Matters

Section 1. Policy and Procedure System
Section 2. Strategic Plan
Section 3. Equity, Diversity and Compliance
Section 4. University Relations (to include WUTC)
Section 5. University Closings
Section 6. Other Matters

Volume III. Academic Affairs

Section 1. Academic Programs
Section 2. Academic/Students
Section 3. Academic/Faculty
Section 4. Graduate Program
Section 5. Records Office
Section 6. Library
Section 7. Distance Education/Continuing Education
Section 8. Colleges
Section 9. Cadek Conservatory
Section 10. Grants and Research
Section 11. Admissions
Section 12. Financial Aid
Section 13. Compliance
Section 14. Other Matters

Volume IV. Finance and Administration

Section 1. Human Resources
Section 2. Budget and Planning
Section 3. Facilities Management

Section 4. Procurement and Contracts
Section 5. Graphic and Mail Services
Section 6. Safety and Emergency Management
Section 7. Facilities
Section 8. Parking Services
Section 9. Information Technology
Section 10. Compliance
Section 11. Other Matters

Volume V. Student Development

Section 1. Student Code of Conduct
Section 2. University Center
Section 3. Counseling Center
Section 4. Aquatic and Recreation Center
Section 5. Intramurals
Section 6. Housing
Section 7. Student Organizations
Section 8. Other Matters

Volume VI. Athletics

Section 1. Student Athletes
Section 2. McKenzie Arena

Volume VII. University Development/Advancement

Section 1. Development
Section 2. University of Chattanooga Foundation
Section 3. Alumni Affairs
Section 4. Other Matters

VII.   Policy Retention, Access and Copies

    A. Academic Affairs shall be the repository of all original policies signed by the Chancellor.

    B. Operating Policies and Procedures shall be available to all students, faculty and staff through the University Operating Policy and Procedure web page maintained by Academic Affairs.

Review

This OP will be reviewed by June 1 of every odd numbered year by the Chair of the PRC with recommendations for revision presented to the Chancellor by July 1.

Authorization
REVIEWED BY:

_____   4.13.15
Office of General Counsel   Date

_____   10 April 2015
Chancellor   Date
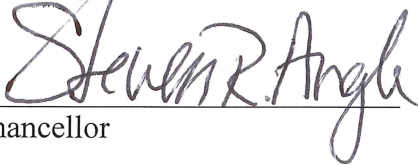
                                          OP _____
                                          Effective: _____
                                          Revised: _____
                                          Reviewed: _____

For information about this policy, contact the reviewing department.
For comments about the UTC Policy website, contact: _____