

# 01.01.99.D1.02    **Distribution and Publication of Texas A&M University – Central Texas Rules and Procedures**



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              December 3, 2015  
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Next Scheduled Review: December 2, 2026

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## **Procedure Summary**

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System policies and regulations require that Texas A&M University-Central Texas (A&M-Central Texas) establish rules and standard administrative procedures that are consistent with policy and regulation requirements. This procedure sets standards and responsibilities for development, review, approvals, and distribution of rules and procedures that govern A&M-Central Texas.

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## **Definitions**

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**System Policies** – Texas A&M University System (System) policies guide the system by incorporating the board’s philosophies, expectations and priorities. System policies create administrative structures, set priorities, delegate authority, assign responsibility, ensure accountability and define reporting requirements.

**System Regulations** – System regulations include specific directives and reporting requirements needed to implement system policies and include interpretations where issues are not covered or are unclear in system policies. System regulations may also be used to communicate uniformed guidelines established by the chancellor on matters of overall system concern that are not specifically addressed in system policies and to provide for uniform compliance with fiscal, academic, research, human resources and other management standards and requirements imposed from federal or state law or external administrative agency rule.

**University Rules** – University rules supplement system policies and regulation, when required by a policy or regulation; when directed by the board or chancellor; or for matters unique to the university at the discretion of the President. University rules shall be submitted to the System Office for review, which includes Office of General Counsel review for legal sufficiency and consistency with system policies and regulation, and final approval, by the chancellor.

**University Procedures** – University procedures implement system policies, regulations and university rules. University procedures may be submitted to the System Office for review, which

includes Office of General Counsel review for legal sufficiency and consistency with System policies and regulations when required by system policies or regulations or at the request of the university. University procedure provide implementation instruction specific to the University.

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## Procedure

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### 1. GENERAL

1.1 A&M–Central Texas rules and administrative procedures will supplement material in the System Policies and Regulation Library. Directives or memoranda may be issued from time to time to address internal operational issues. These directives or memoranda will not be specific rules or procedures, but rather guidelines to promote efficient, effective, and orderly university operations. The President at A&M-Central Texas is responsible for the approval of all university rules and administrative procedures.

1.1.1 In instances where a conflict between a university rule/procedure and a system policy or regulation arises, the higher document will take precedence.

1.2 Rules required by the system must complete the university internal review process and be submitted to the System Policy Office for review within six months of the publication of the related system policy and/or regulation.

1.3 University rules/procedures represent A&M-Central Texas governance documents that require compliance by employees, students, and agents of the university.

1.3.1 Noncompliance with system policies or regulations, and university rules/procedures may be considered grounds for disciplinary action up to and including termination of employees or expulsion of students.

1.4 University rules/procedures are subject to review and/or revision at any time and, at a minimum, are subject to a mandatory five-year review.

1.5 Departmental/standard operating procedures are department-based and do not have to follow the process outlined in this university administrative procedure.

### 2. OVERSIGHT OF RULES AND PROCEDURES

2.1 General responsibility for the development of university rules/procedures rests with the President. The President has delegated the responsibility for maintaining the compendium of the university's rules/procedures to the Chief Compliance Officer. The Chief Compliance Officer is responsible for:

- 2.1.1 Coordinating the development, review, and routing for approval of university rules, administrative procedures and guidelines;
- 2.1.2 Maintaining the university's Rules and Standard Administrative Procedures Library;
- 2.1.3 Notifying the university community when new or revised university rules/procedures are posted or deleted; and,
- 2.1.4 Coordinating the university's review comments and responses to the System Policy Office regarding draft system policies and regulations that impact university governance.

### 3. REGULAR REVIEW OF EXISTING RULES AND PROCEDURES

The Chief Compliance Officer will initiate the regular review cycle for existing rules and procedures and coordinate the review process. The university will review and update its campus rules and procedures on a regular basis to ensure compliance with federal and state laws, system policies and regulations, other university rules and procedures, and the institutional mission and goals. Review cycles are every five years. Exceptions to the regular review cycles are addressed in section 4 of this procedure.

- 3.1 If revision of an existing rule/procedure is needed, the Chief Compliance Officer will supply the responsible department with the most recent published rule/procedure. The department will return an annotated version showing tracked revisions to the published document to the Chief Compliance Officer. The Chief Compliance Officer will take the revised document through the campus review process described below.
- 3.2 All university rules and procedures must complete the campus review process within six months of the publication of the associated system policy and/or regulation. For procedures not required by the system, extension requests for good cause may be submitted in writing to the Chief Compliance Officer.

### 4. EXCEPTIONS TO THE REGULAR REVIEW CYCLES

There may be instances when university rules/procedures need to undergo the review process outside of the normal review cycle outlined in section 3 of this procedure. Exceptions to the regular review schedule may require a full or partial campus review depending on the content being revised.

- 4.1 Exceptions that require a full campus review can be made for the following reasons:
  - a. A change in related federal or state law resulting in the need for substantive changes to the content of the rule or procedure;

- b. a change in related system policies and regulations and/or university rules and procedures resulting in substantive changes to the content of the rule or procedure;
- c. a significant change in the university's organization or its processes that requires substantive changes to the content of the rule or procedure; or
- d. other reasons as determined by the Chief Compliance Officer.

4.2 Certain exceptions may only require a partial campus review. The Chief Compliance Officer will determine the appropriate modified review path for these exceptions. In these cases, feedback and suggested edits shall be limited to the newly proposed revisions. Exceptions that require a partial campus review can be made for the following reasons:

- a. A clerical error;
- b. a change in title of an individual, department, form, process, software, etc.;
- c. grammar, punctuation, or formatting corrections;
- d. a change to a portion (typically less than 10-20%) of the rule/procedure, such as the addition/removal of a single step in a process (e.g., appeal process, training requirements, etc.); or
- e. other reasons as determined by the Chief Compliance Officer

4.3 Departments, division, and the advisory bodies listed in section 5 of this procedure may request a review of a university rule or procedure outside of the normal review cycle by submitting a Revision/Deletion request Form to the Chief Compliance officer who will review the request, inform the submitting body of the decision, and coordinate the review process as appropriate.

## 5. ASSIGNMENT OF RESPONSIBILITIES FOR UNIVERSITY RULES AND STANDARD ADMINISTRATIVE PROCEDURES

5.1 Based on approved policies and regulations, the university's Chief Compliance Officer determines whether a rule/procedure is required to be developed by the university.

- a. Individuals, departments, advisory bodies, administrative councils, and President's Cabinet may initiate new rule or procedure proposals. Proposed rules/procedures are to be submitted to the Chief Compliance Officer for formatting and routing to the appropriate advisory bodies for review. An electronic version must be provided.

5.2 The development, review, and revision of rules/procedures is assigned to the appropriate division personnel by the Chief Compliance Officer and the respective Vice President of the affected division will be carbon copied on the email. This divisions responsibilities include:

- a. Obtaining assistance of additional personnel and/or departments as needed;

- b. Maintaining accurate and current information, including notifying the Chief Compliance Officer of any updates, edits or changes to hyperlinks within the university rules/procedures so that updates can be made;
  - c. Providing interpretation; and
  - d. Performing periodic reviews and revisions of university rules/procedures as needed, or as designated by the five-year review cycle.
- 5.3 The Provost and Vice President for Academic and Student Affairs (VPASA), in consultation with the Faculty Senate and Academic Council, will coordinate the development and review of rules/procedures affecting faculty and students. The VPASA will forward the final draft rule/procedure to the Chief Compliance Officer for final review and formatting and the Chief Compliance Officer will make any necessary adjustments if needed.
- 5.4 The Vice President for Research, Economic Development, and Innovation (VPREDI), in consultation with the Faculty Senate and Academic Council, will coordinate the development and review of rules/procedures affecting research. The VPREDI will forward the final draft rule/procedure to the Chief Compliance Officer for final review and formatting and the Chief Compliance Officer will make any necessary adjustments if needed.

## 6. APPROVAL PROCESS

- 6.1 Once a rule/procedure has been developed, reviewed, or revised, it must proceed through Vice President Review.
- a. All input must be returned to the Chief Compliance Officer within ten business days. Recommended changes will be reviewed and incorporated as necessary.
- 6.2 Upon review by the Vice Presidents, all university rules/procedures will be submitted to the President for an official presidential review.
- a. All input must be returned to the Chief Compliance Officer within five business days. Recommended changes will be reviewed and incorporated as necessary.
- 6.3 After completion of the review, the Chief Compliance Officer will submit the recommended rule/procedure to the Vice Presidents and President for signature approval.
- 6.4 All rules and certain procedures specified by System Policy Office, whether new, revised, or requested to be deleted, must proceed through the Vice President and President review/approval process prior to the Chief Compliance Officer submitting it to the System Policy Office for review.
- a. If returned with recommended changes, the Chief Compliance Officer will review the recommendations from System Policy Office, SAGO Administration,

and General Counsel and may revise the rule/procedure as necessary. The Chief Compliance Officer will resubmit the draft to the System Policy Office for final approval.

- b. If returned from the System Policy Office with final approval by the chancellor, and, as applicable, approval by other designated parties. The Chief Compliance Officer will publish the approved rule/procedure to the university's web page within 1 business day.

6.5 The Chief Compliance Officer is responsible for the distribution of university rules/procedures, at a minimum, to the Vice Presidents, Division Directors, Director of Library Services, the Director of Human Resources, and the System Policy Office.

6.6 The Chief Compliance Officer is also responsible for publishing the rule/procedure on the university's web page.

6.7 Supervisors for administrative units are responsible for distributing and training employees on new or revised rules/procedures.

## 7. DEVELOPMENT AND PUBLICATION OF GUIDELINES

7.1 Guidelines should follow the same format as rules and standard administrative procedures, or may be incorporated into the department's manual or handbook.

All guidelines must include appropriate references to system policy and regulation and/or university rule.

7.2 Once the approval is received, the Chief Compliance Officer is responsible for publishing the guidelines on the university's compliance web page.

## 8. INTERPRETATION OF RULES AND STANDARD ADMINISTRATIVE PROCEDURES

8.1 Each rule/procedure will include the name and phone number of the office responsible for interpreting the rule/procedure. Persons needing interpretation of rules/procedures should contact the department head of the office listed on the rule/procedure.

## 9. UPDATES TO SYSTEM POLICIES AND REGULATIONS

9.1 The Chief Compliance Officer will distribute all proposed new and/or revised system policies and regulations forwarded by the System Policy Office to the following individuals, at a minimum, for their review: President, Vice Presidents, and the department head for the designated office of responsibility. These individuals are responsible for distributing the proposed system policies and regulations within their areas for review. Any feedback relative to the drafts must

be submitted to the Chief Compliance Officer by the requested deadline to be forwarded to the System Policy Office.

- 9.2 The Chief Compliance Officer will distribute all approved new and/or revised system policies and regulations to the following individuals at a minimum: President, Vice Presidents, deans and department heads. These individuals are responsible for distributing, communicating, and providing training if needed, of approved system policies and regulations to employees in their areas.

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## **Related Statutes, Policies, or Requirements**

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[System Policy 01.01](#) *System Policies and Regulations, and Member Rules and Procedures*

[System Regulation 01.01.01](#) *Format for System Policies and Regulations, and Member Rules*

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## **Contact Office**

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Office of Institutional Compliance  
(254) 519-5763



TEXAS A&M  
UNIVERSITY  
CENTRAL TEXAS™

**Office of Institutional Compliance**  
**University Rule/ Procedure Revision/Deletion Request Form**

Date Submitted: \_\_\_\_\_

Department Name: \_\_\_\_\_

Department Head: \_\_\_\_\_

Phone No. of Department Head: \_\_\_\_\_

I am requesting a:

Revision    Deletion      **of a**       Rule       Administrative Procedure

Number and Title: \_\_\_\_\_

Describe the reason for the request. If deletion, will this information remain in the department as a standard operating procedure? If so, please attach the standard operating procedure.

\_\_\_\_\_  
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\_\_\_\_\_  
\_\_\_\_\_

**Requesting Department**

\_\_\_\_\_  
Requestors Name (Print)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Requestors Signature

\_\_\_\_\_  
Date

**Office of Institutional Compliance**

Approved       Not Approved

Justification for Non-approval: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Chief Compliance Officers Signature

\_\_\_\_\_  
Date