



The Texas A&M University System
Texas A&M Engineering Extension Service

Standard Administrative Procedure

SAP 01.01.01.N0.01 - Development and Publication of Agency Rules, Standard Administrative Procedures, and Forms

Approved: April 28, 2008

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Summary

This document provides the guidelines for development, approval and distribution of agency rules, standard administrative procedures (SAPs), and forms.

Definitions

Forms—These are standardized documents used by the agency to support consistent business operation documentation.

Policies—These are guidelines incorporating the Texas A&M University System (A&M System) Board of Regent (BOR) philosophies that create administrative structures, set priorities, delegate authority, assign responsibility, ensure accountability and define reporting requirements. The TAMUS chancellor is responsible for implementation of the policies adopted by the BOR.

Regulations—Directed by A&M System, regulations include specific directives, procedures, and reporting requirements needed to implement A&M System policies.

Rules—Member rules supplement A&M System policies and regulations and are established at the member level. Rules should be concise and understandable and contain minimal operational details.

Standard Administrative Procedure (SAP)—These are policies and procedures developed to support Texas A&M Engineering Extension Service (TEEX) operations.

Requirements

1. GENERAL

1.1 TEEX will develop agency rules as required to support A&M System policies and regulations, when directed by the Board of Regents chair or Chancellor, or for matters unique to TEEX.

1.2 TEEX will develop and revise agency SAPs according to the following:

- 1.2.1 A&M System policies and regulations
- 1.2.2 Federal or state government
- 1.2.3 The U.S. Department of Education (ED) accreditation
- 1.2.4 The assurance of proper operational functioning of TEEEX
- 1.3 TEEEX headquarters departments will develop forms to support agency operations as required.
- 1.4 All Rules and SAPs will be formatting in accordance with the formatting guide (Appendix A)
- 1.5 TEEEX Rules and SAPs will be maintained on the TEEEX website with a link to system policies and regulations, and employee portal. Forms will be maintained on the employee portal.

2. RESPONSIBILITIES

- 2.1 Each TEEEX Rule and SAP is assigned to a headquarter department that is responsible for initiating changes, drafting new items, interpreting for constituents, and maintaining consistency with system policies and regulations.
- 2.2 The TEEEX Risk and Compliance Manager is responsible for the following duties:
 - 2.2.1 Coordinating any revisions of Rules and SAPs with the responsible offices and the System policy office.
 - 2.2.2 Distributing any revised or new SAPs or rules to TEEEX employees.
 - 2.2.3 Ensuring external communication (e.g., TEEEX website) of Rules and procedures remain current.
- 2.3 All TEEEX employees, agents, participants and volunteers are responsible for complying with all system policies, system regulations and TEEEX rules and procedures at all times. Noncompliance with system policies, system regulations and TEEEX rules and procedures may be considered grounds for disciplinary action up to and including termination of employees or expulsion of participants.

3. AGENCY RULES

3.1 Development, Five-year Review and Revisions

- 3.1.1 The TEEEX Ethics and Compliance Officer is responsible for ensuring that TEEEX develops and publishes agency rules to support A&M System policies and regulations.
- 3.1.2 New rules or revisions to existing rules may originate with the TEEEX responsible office assigned responsibility for such rules or with a committee or other group formed to review such rules, or as directed by TAMUS policy, regulation, the Board of Regents chair or chancellor.
- 3.1.3 The responsible office will share the proposed rule with stakeholders, as appropriate, for review and comment. When a rule is revised, an annotated

version and a summary of the revisions should be provided. Following the review, the proposed rule will be provided to the Agency Director for approval.

- 3.1.4 Following agency approval, the Risk and Compliance Manager will submit the final draft of the proposed rule to the System Policy Office for review of legal sufficiency.
- 3.1.5 The Risk and Compliance Manager with the responsible office will review comments provided by the A&M System and modify the rule if necessary
- 3.1.6 After final approval by the Chancellor, the Risk and Compliance Manager will distribute the new or revised TEEX rule to all supervisors and will publish it on TEEX.org and the employee portal.

4. AGENCY STANDARD ADMINISTRATIVE PROCEDURE (SAP)

4.1 Development and Revisions

- 4.1.1 A new SAP or revisions may originate with the TEEX responsible office to support TEEX operations. TEEX procedures shall not duplicate nor contradict System policies or regulations, or other agency rules or procedures.
- 4.1.2 The responsible office will share the proposed procedures with stakeholders, as appropriate, for review and comment. When a procedure is revised, an annotated version and a summary of the revisions should be provided.
- 4.1.3 For new and revised SAPs, the proposed procedure will be posted for agency-wide comments on TEEXconnect for five (5) business days. The responsible office will review agency input to inform the development of the procedure.
- 4.1.4 Following the review, the proposed procedure will be provided to the Deputy Director and Chief Operating Officer to obtain concurrence from their leadership team.
- 4.1.5 After final approval and signature by Deputy Director, the Risk and Compliance Manager will distribute the new or revised procedures to all supervisors and will maintain it on TEEX.org and the employee portal.

4.2 Reviews

- 4.2.1 A new SAP will be reviewed after one year to assess implementation. The review period should be five year thereafter.

5. DIVISION GUIDELINES

- 5.1 Divisions may initiate guidelines that are unique to their division and not addressed at the Agency level.
- 5.2 Guidelines may not duplicate or contradict existing laws, A&M System rules and regulations or TEEX rules and procedures.
- 5.3 Divisions guidelines are null and void to the extent they conflict with system policies, system regulations or TEEX rules and procedures

6. AGENCY FORMS

6.1 Development

- 6.1.1 New agency forms are initiated within departments at headquarters. Forms are developed to support consistent business operation documentation.

6.2 Revision

- 6.2.1 Forms are reviewed and revised as needed by the department that manage the operation. Forms should be kept current to maintain relevancy within business operations.

6.3 Approval

- 6.3.1 Agency forms are approved within the applicable agency department.

7. IMPLEMENTATION AND DISTRIBUTION OF RULES, SAPS, AND FORMS

7.1 Rules and SAPs

- 7.1.1 Once TEEX rules or SAPs have been approved, the final document is published by the TEEX Risk and Compliance Manager to:

- 7.1.1.1 [TEEX website](#)

- 7.1.1.2 Employee Portal (rules and SAPs)

- 7.1.2 The TEEX Risk and Compliance Manager will email all supervisors informing them that a new or revised rule or SAP has been published, along with a summary of revisions, when applicable.

- 7.1.3 Headquarter departments must ensure any documents managed within their departments (e.g., TEEX Safety Manual) are updated to reflect any changes resulting from the SAP or rule revision.

- 7.1.4 Supervisors within each business unit are required to review the new rule/SAP with their staff, as applicable for their business unit.

- 7.1.5 Program training managers within the divisions will review the rule/SAP with participants and update program documents such as handbooks, when applicable.

7.2 Forms

- 7.2.1 Forms that affect agency operations are published to the employee portal by the department that manages the form. New or revised forms will be communicated through an email from the agency department owner to all TEEX employees, informing them that the new or revised form has been published, along with a summary of revisions, when applicable.

- 7.2.2 Supervisors within each business unit are required to review the new form with their staff, as applicable.

8. COMPLIANCE

8.1 Rules and SAPs

- 8.1.1 A&M System monitors that TEEX has developed and implemented rules in accordance with A&M System policies.

- 8.1.2 SAPs must include a monitoring process to ensure systematic and effective implementation. This quality assurance measure ensures that those affected

by the SAP understand how SAP adherence will be monitored. The TEEX Risk and Compliance Manager is responsible for ensuring that each SAP includes a monitoring process.

8.2 Forms

- 8.2.1 Compliance with form usage is managed through the owner of the form. For example, if the owner is Strategic and Education Services (SES), then that department should have the proper oversight in ensuring the form is being used appropriately.

9. DECOMMISSIONING OF RULES, SAPS, AND FORMS

9.1 Decommissioned Documents

- 9.1.1 Should a TEEX rule no longer be relevant, it should be identified as such and decommissioned by the responsible office in consultation with TAMUS policy office.
- 9.1.2 Should a SAP no longer be relevant, it should be identified as such and decommissioned by the responsible office.
- 9.1.3 Decommissioned forms are removed from publication by the department owner.
- 9.1.4 The TEEX Risk and Compliance Manager will work with the responsible department to monitor documents that have been decommissioned to ensure removal from publication.

9.2 Communication of Decommissioned Documents

- 9.2.1 The TEEX Risk and Compliance Manager will notify TEEX supervisors of the decommissioning of an SAP or rule, while forms that are decommissioned are communicated through the department that manages the form. When applicable, the email communication should also include reasoning behind the removal of the document.
- 9.2.2 In all cases, supervisors within each business unit are required to ensure that his/her staff is aware of the removal of the document, as applicable.

9.3 Archiving of Documents

- 9.3.1 All decommissioned rules, SAPs, or forms are to be archived in compliance with the current TAMUS record retention requirements. The owner of the retired document is responsible for the proper archiving and removal of the document.

Related Statutes, Policies, or Requirements

[System Policy 01.01, System Policies and Regulations, and Member Rules and Procedures](#)
[System Regulation 01.01.01, Format for System Policies and Regulation, and Member Rules](#)

ACCET Standard II A, B

[TAMUS Records Management](#)

Appendix

Formatting Guide

Office of Responsibility

Strategic and Education Services (SES) - Ethics and Compliance
(979) 458-6807

Appendix A: Formatting Guide

Rule Formatting

1. Template

All TEEX rules are to be formatted using the standardized template found on the TEEX employee portal by searching for TEEX rule template.

2. Numbering

TEEX rules will begin with “TEEX” and be numbered to reflect their relationship to TAMUS policies and regulations:

Example: TEEX 34.02.01.N1 Drug and Alcohol Abuse and Rehabilitation Programs

- The first six digits refer to the TAMUS regulation.
- The “N” is the TAMUS assigned identifier for TEEX.
- The final digit indicates that this is the first TEEX rule supplementing that TAMUS regulation.

When a TEEX rule relates to a specific TAMUS policy but not to a specific regulation, the numbering system will be slightly different:

Example: TEEX 34.01.99.N1 Sexual Harassment

- The first four digits refer to the TAMUS policy.
- The “99” as the fifth and sixth digits denotes the absence of a TAMUS regulation.
- The “N” is the TAMUS assigned identifier for TEEX.
- The final digit indicates that this is the first TEEX rule supplementing the TAMUS policy.

See [Table 1: General Subject Codes](#) for applicable codes.

SAP Formatting

3. Template

All TEEX SAPs are to be formatted using the standardized template found on the TEEX employee portal by searching for TEEX SAP template.

4. Numbering

4.1 TEEX SAP supporting an agency rule and TAMUS regulation

TEEX SAPs will be numbered in a similar manner to TEEX rules by adding a number to the agency rule supported by the SAP.

Example: TEEX 31.01.01.N1.0-1 Compensation Administration

- The first six digits refer to the TAMUS regulation
- The N is the TAMUS assigned identifier for TEEX
- The digit following “N” should align with the TEEX rule

- The final digit indicates the sequential number of SAPs that supports the TEEX rule (this example shows this is the first SAP supporting that rule).

4.1.1 TEEX SAP supporting a TAMUS regulation, but does not have a TEEX rule

When there is no TEEX rule “N0” (N[zero]) will be used in the rule position as in the following examples:

Example: TEEX 32.01.02.N0.0-1 Complaint and Appeal Process

This second example shows that the SAP supplements TAMUS regulation 32.01.02, that there is not an associated TEEX rule, and that it is the first SAP supporting TAMUS regulation 32.01.02.

4.1.2 TEEX SAP not supporting a TAMUS regulation or TEEX rule

When there is a need for a SAP that does not relate to a specific TAMUS policy or regulation, or TEEX Rule, it takes the first two digits of the general subject area (see [Table 1: General Subject Codes](#)), uses “99” as the second two digits to denote the absence of a specific TAMUS policy, uses “99” as the third two digits to denote the absence of a specific TAMUS regulation, uses N0 (N[zero]) to designate the absence of a TEEX rule, and then adds the sequence number, as seen in the following example:

Example: TEEX 01.99.99.N0.0-1 General Governance

This example shows that there is a TEEX SAP in the general subject area of 01—Governance, but there is not a TAMUS policy or regulation or TEEX rule supported by the SAP.

See [Table 1: General Subject Codes](#) for applicable codes.

Form Formatting

4.2 Template

Forms do not have a standardized template. All forms will have the date of the current revision within the document. If the form supports a SAP or rule, the SAP or rule must be referenced within the form.

4.3 Numbering Forms

The numbering of the form will include an abbreviation of the department that manages the form, followed by a number with no spacing or hyphens. The number represents the sequence of form creation. TEEX forms should have a title that indicates the form purpose.

Example: HR1 Request for Payroll Change

Department codes for Forms are as follows:

- Human Resources: HR
- Financial Services: FS
- Strategic and Education Services: SES

- Marketing and Communication: MaC
- Network Information Services: NIS
- Environmental Health and Safety: EHS
- Contract Services: GC
- Directors Office: AD

Table 1 – General Subject Codes

Number	General Subject
01	Governance
02	Organization of System
03	Statements of Mission and Objectives
04-06	Not currently used
07	Ethics, Conflict of Interest
08	Civil Rights Protections and Compliance
09	Litigation and Administration
10	Internal Audit
11	Centers, Degrees, and Programs
12	Faculty
13	Students
14	Not currently used
15	Research Programs
16	Compliance—General
17	Intellectual Property
18	Athletics
19-20	Not currently used
21	General Finance
22	Asset Management
23	Debt Management
24	Risk Management
25	Expenditure of Funds
26	Tuition and Fees
27	Financial Planning and Budgeting
28	Auxiliary Enterprise, Privatization, etc.
29	Information Resources
30	Not currently used
31	Compensation and Benefits
32	Employee Relations
33	Employment, Standards of Conduct
34	Safety of Employees and Students
35-40	Not currently used
41	Real Property
51	Facilities Planning and Construction
60	Relationships with Financial Support Organizations
61	Information and Communications
99	Not related to a specific TAMUS policy or regulation