

## **POLICIES AND PROCEDURES**

### **Objective:**

To determine if the department needs to revise policies and procedures for internal operations as warranted and to evaluate the level of compliance with existing policies and procedures; additionally, to ensure institutional policies and/or procedures (that are the responsibility of the department) are updated periodically and do not contradict and/or conflict with BOR, state and/or federal regulations.

### **Potential Impact:**

Results in legal and financial liability as well as negative publicity if policies and procedures do not exist where warranted, or if they are not consistently applied and updated as necessary

### **Helpful Tools:**

- UH System Administrative Memorandum:
  - [Board of Regents – List of Policies](#)
  - [UH System Administrative Memorandum – List of Policies](#)
- UH – Downtown Policy Statement:
  - [UHD Policy Statements – List of Policies](#)
  - [Administration - 01.A.01 UH-Downtown Policy and Procedure System](#)
- UHD Policy Statement Template (See contract person below)

### **Contact for Policy Revisions:**

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### **Frequently Observed Weaknesses/Deficiencies:**

- Failure to document the internal business procedures of the department
- Failure to enforce/comply with policies and procedures
- Failure to obtain appropriate approval for policy changes as well as for new policies
- Failure to review and update internal and institutionally responsible policies and procedures periodically
- Failure to communicate policies and procedures to all individuals of the department

### **Best Business Practices:**

1. Designate an individual(s) to oversee the development, decommissioning, communication, updating and proper routing of new and changing policies and/or procedures
2. Develop and implement written policies where warranted by the internal operations of the department and were not already addressed by UHS/UHD policies
3. Ensure internal business procedures for the operation of the department are documented. Documenting such processes is crucial in emergency situations as well as with turnover in personnel
4. Ensure internal policies and/or procedures do not contradict/conflict with UH System or BOR policies

5. Enforce/ensure compliance with policies and procedures. Having documented policies and procedures without compliance is inefficient and ineffective
6. Ensure all policies and procedures, as well as revisions, updates or changes to them are communicated to all employees and students of the department, if necessary
7. Ensure policies and procedures are reviewed and updated, if necessary, at least annually
8. Utilize policies and procedures in training new personnel

## POLICIES AND PROCEDURES

This questionnaire is designed so that “no” answers indicate that an internal control weakness may exist and the procedure/process may need to be examined in greater detail. When such weaknesses are identified, a change in the process may be necessary OR a control may need to be put into place to address the weakness. The appropriate UHD contact office (as outlined in the self-assessment text) may be contacted for assistance with identified weaknesses.

Self-Assessment of Internal Controls for Policies and Procedures	Yes	No	N/A	Comments
Has the department developed written internal policies and procedures as warranted by the operations of the department?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Does management enforce compliance with policies and procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are departmental policies and procedures reviewed and updated at least annually?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are policies and procedures used to train personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are new policies as well as policy changes communicated to all individuals of the department as necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

This is a living document and will be updated as revisions are necessary. Periodically, you may want to check for updates and revisions. We welcome any questions and feedback regarding the information contained in this tool including any comments regarding how this may be more useful and effective.