

MANAGEMENT RESPONSIBILITIES HANDBOOK

FOR

DEPARTMENT HEADS AND BUDGET AUTHORITIES



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THE UNIVERSITY OF TEXAS AT TYLER**

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Statement from the President

The administration of a university is a challenging task. For the most part, universities operate in a decentralized environment. This means that key management responsibilities such as the ability to expend funds are delegated throughout a university to department heads and various budget authorities. As a result of this delegation, department heads and budget authorities are responsible for broad aspects of day-to-day operations including financial stewardship and compliance with laws, regulations, policies, and procedures. To operate effectively in a decentralized environment, department heads and budget authorities must understand, accept, and discharge all of their management responsibilities.

The purposes of this handbook are as follows:

- (1) to summarize and clearly communicate management responsibilities for which department heads and budget authorities will be held accountable,
- (2) to summarize significant laws, regulations, policies, and procedures most applicable to managing a department or accounts, and
- (3) to identify key resource departments and personnel who are available to assist department heads and budget authorities when they have problems or questions.

This is an important reference manual; please read it carefully. Your comments and suggestions for future editions of the handbook should be addressed to the Interim Vice President for Academic Affairs or the Vice President for Business Affairs, as appropriate.

Thank you for doing your part to effectively manage The University of Texas at Tyler.

Rodney H. Mabry, Ph.D.
President

Summary of Management Responsibilities

This handbook is meant to be a general summary of the responsibilities of budget authorities and is not an all inclusive document. If in conflict, Federal and State laws, as well as UT System Regental Rules and UT System Policies, supersede the contents of this handbook. Budget Authorities are also responsible for items found in the Handbook of Operating Procedures (HOP) which can be found at the below website:

<http://www.uttyler.edu/ohr/hop/>

This section of the handbook summarizes management responsibilities for which department heads and budget authorities will be held accountable.

Ethical Conduct

Ethical conduct is the foundation of effective management. Department heads and budget authorities are responsible for establishing an ethical “tone at the top” in their respective areas. To discharge this responsibility, department heads and budget authorities must (1) behave in an ethical manner, (2) communicate ethical standards to employees, (3) monitor employee conduct in accordance with ethical standards, and (4) take appropriate disciplinary action when an employee violates ethical standards.

The State of Texas and UT System have defined numerous ethical standards that apply to UT Tyler employees. UT System’s Ethics Policy is included in the next section of this handbook. All employees should read the information on UT System’s web page. This information can be accessed via the Internet at the following location:

<http://www.utsystem.edu/OGC/ethics/homepage.htm>

Department heads and budget authorities should encourage employees to discuss ethical issues with their supervisors. If a supervisor does not know the answer to an ethical question, the supervisor should call UT Tyler’s ethics officer, the Vice President for Business Affairs.

The support of and adherence to the Institutional Compliance Program by managers and supervisors is considered an important part of their job performance. Managers and supervisors are required to ensure and verify that the employees they supervise complete appropriate compliance training. In addition, they are responsible for discussing with their employees UT Tyler’s Standards of Conduct Guide, Conflict of Interest Policy, and other compliance policies and procedures specifically related to their job function.

For more information on ethical conduct, read the Standards of Conduct Guide at:

<http://www.uttyler.edu/compliance/documents/SOCGuide.pdf>

UT System Ethics Policy (summary)

Conflicts of Interests: Officers, faculty, and employees (collectively “employees”) of the UT System may not have a direct or indirect interest, financial or otherwise, that is in conflict with the proper discharge of their duties. Potential conflicts of interest must be disclosed.

Adherence to Law: Employees shall adhere to applicable laws, rules, regulations, and policies of governmental and institutional authorities. The failure to do so will be grounds for disciplinary action, up to and including termination of employment.

Gifts: No employee shall accept or solicit any gift, favor, or service that might reasonably appear to influence the employee in the discharge of duties. Note: Making or receiving gifts, including honoraria, may constitute a criminal offense under certain circumstances.

Confidential Information: No employee shall disclose confidential information or use such information for his or her personal benefit.

Self-Dealing: No employee shall transact any business in an official capacity with any business entity of which the employee is an officer, agent, or member, or in which the employee owns a substantial interest.

Personal Investments: No employee shall make personal investments that could reasonably be expected to create a conflict between the employee's private interest and the public interest.

Outside Employment: No employee shall accept other outside or dual employment or compensation that could reasonably be expected to impair the employee's independence of judgment in the performance of the employee's public duties. Note: Outside employment is further limited by other policies, laws, and regulations.

Sexual Harassment and Misconduct: Sexual misconduct and sexual harassment are unacceptable behaviors. Such unacceptable behavior includes verbal or physical conduct of a sexual nature. Incidents of sexual misconduct or sexual harassment should be reported to the office charged with reviewing such complaints where the incident occurred.

For more detailed information, please see the Conflict of Interest Policy:

http://www.uttyler.edu/ohr/hop/documents/2.5.1ConflictofInterest_000.pdf

Financial Stewardship

Department heads and budget authorities are responsible for the financial activities in their respective areas. Many department heads and budget authorities choose to delegate

financial tasks to an administrative assistant or an administrative services officer. If a department head or budget authority chooses to delegate financial tasks to another employee, it is important to understand that the department head or budget authority is still responsible for those activities. In short, financial tasks may be delegated—financial responsibility cannot be delegated. To discharge management’s responsibility for financial stewardship, department heads and budget authorities should ensure the following:

Preparation and review of monthly departmental account reconciliations. A departmental account reconciliation is a comparison of a department’s monthly Statement of Account to supporting documentation retained in the department’s files. This mandatory control procedure (1) ensures the accuracy of a department’s Statements of Account and (2) deters fraudulent financial activities. All account reconciliations should be prepared by one person and approved by another person. The person reconciling and the person approving the reconciliations should each sign and date the reconciliations to evidence their review and approval.

Department heads and budget authorities may choose to delegate the preparation of monthly account reconciliations to an administrative assistant or an administrative services officer. To maintain proper segregation of duties, account reconciliations should not be delegated to an employee who also has the authority to approve financial transactions or handles cash or checks.

If account reconciliations are delegated to another employee, the department head or budget authority must still perform a detailed review of the reconciliations--all questionable expenditures or credits on a Statement of Account should be thoroughly investigated and documented by the department head or budget authority. The reconciliations must be completed following the guidelines located on the Financial Services website: <http://www.uttyler.edu/finserv/trainingresources.php>

Transfer of account balances. UT Tyler budget policy allows budget authorities to transfer balances between accounts except as follows:

- Balances may not be transferred from accounts that lapse at year-end to carry-forward accounts. Accounts that lapse at year-end include the following: state accounts (i.e., account numbers that begin with “14”), designated tuition accounts, student services fee accounts, basic computer access fee accounts, automated services fee accounts, records fee accounts, international education fee accounts, parking fee accounts, fine arts center fee accounts, and Lindsey accounts.
- Balances may not be transferred from fringe benefits accounts.
- Balances may not be transferred between state accounts (i.e., account numbers that begin with “14”) and local accounts (i.e., account numbers that begin with “18,” “19,” “26,” “30,” or “36”).
- Balances may not be transferred out of a restricted fund budget group (i.e., account numbers that begin with “26-XXXX-XX” or “30-XXXX-XX”).

- Balances may not be transferred into or out of an agency fund budget group (i.e., account numbers that begin with “41-XXXX-XX”).

Transfers between state funds are reviewed and approved by the Associate Vice President for Business Affairs to ensure compliance with the above transfer rules.

Segregation of duties. Department heads and budget authorities should ensure segregation of duties in their departments or budget units. Segregation of duties means that no one person should (1) review and approve DEFINE transactions, (2) enter and reconcile DEFINE transactions, (3) and have access to or handle cash, checks, or other valuable assets. Ideally, all three functions should be separated within a department or budget unit.

Annual Budget Process

It is the responsibility of the budget authority to properly plan and document the financial and capital needs of the department and/or division. A formal budget process is performed annually to include prioritization of initiatives, evaluations of requests and allocation of available resources. A budget committee comprised of the President, Vice Presidents and Budget Officer will hold budget hearings for each college or division.

The Budget Authority is responsible for the preparation of written budget and capital requests. Each request should include proper planning and justification to support the defined goals and objectives of the university mission.

General budget instructions and budget calendar will be issued in the Spring semester of each fiscal year. Budget Authorities are required to complete the following documents to initiate the annual budget process:

- Budget Update Document (BUD)
- Request for Capital Budget Request

The Office of Business Affairs will provide budget calendar, detailed BUD instructions and annual budget training.

The completed BUD document and Capital Budget Request must be forwarded to the appropriate department chair, dean or director for approval and recommendation. Each Dean or Vice President may hold division budget hearings and will present comprehensive budget recommendations to the budget committee at scheduled budget hearings. Budget recommendations of the budget committee will be forwarded to the President for final approval.

For more information on the annual budget process can be found at:

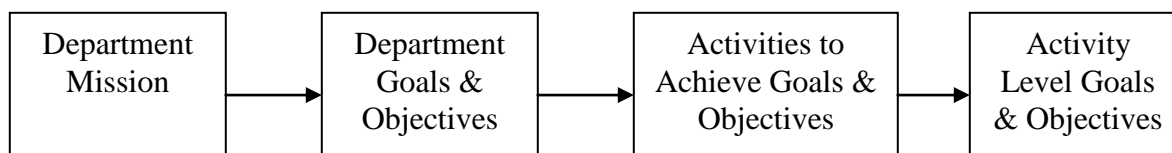
<http://www.uttyler.edu/businessaffairs/budgetoffice/>

Effective Operations

Goals and objectives. All departments and budget units are expected to have written goals and objectives. At the institution level, goals and objectives are presented in a strategic plan that includes a mission statement and broadly defined strategic initiatives. At the department level, goals and objectives must support UT Tyler’s strategic plan. Goals and objectives are classified in the following categories:

- *Operations objectives.* These objectives pertain to the achievement of the basic mission(s) of a department and the effectiveness and efficiency of its operations, including performance standards and safeguarding resources against loss.
- *Financial reporting objectives.* These objectives pertain to the preparation of reliable financial reports, including the prevention of fraudulent public financial reporting.
- *Compliance objectives.* These objectives pertain to adherence to applicable laws and regulations.

A clear set of goals and objectives is fundamental to the success of a department. Specifically, a department or budget unit should have (1) a mission statement, (2) written goals and objectives for the department as a whole, and (3) written goals and objectives for each significant activity in the department (see diagram below). Furthermore, goals and objectives should be expressed in terms that allow meaningful performance measurements.



Departmental policies and procedures manual. Each department and budget unit is expected to have a departmental policies and procedures manual. A department policies and procedures manual should address policies and procedures that are unique to the department and procedures to implement institutional policies and procedures.

Institutional effectiveness. The University of Texas at Tyler is committed to ongoing improvement by employing a comprehensive system of assessment and planning in all major aspects of the institution. Academic programs, administrative departments and education support units participate in ongoing assessment to ensure all students receive quality educational experiences in the classroom and beyond that focus on student learning and academic success. Annual assessments efforts involve gathering, analyzing, and documenting quantitative and qualitative data to determine future improvement priorities. The University Assessment Committee is responsible for providing guidance and support for the assessment proves. For more information please refer to the Assessment and Institutional Effectiveness Office website at: <http://www.uttyler.edu/aid>

Specific questions may be directed to Dr. Lou Ann Berman, Assistant Vice President for Assessment and Institutional Effectiveness at 903/565-5955 or lberman@uttyler.edu

Southern Association of Colleges and Schools -Commission on Colleges requires member institutions to document quality, effectiveness and ongoing improvement by employing a comprehensive system of assessment and planning in all major aspects of an institution. Academic programs, administrative department and educational support units participate in ongoing assessment procedures to ensure institutional effectiveness reflective of the institution's mission statement. For example, the assessment of academic programs should involve gathering and analyzing both quantitative and qualitative data that demonstrate student achievement. Moreover, the assessment results must be used for ongoing improvements related to improving student learning. Annual assessment updates that include results and analyses with ongoing action plans are documented using TracDat software. The University Assessment Committee is responsible for providing guidance and support for the assessment process. Please refer to the Assessment and Institutional Effectiveness Office website at: <http://www.uttyler.edu/aie/> for more information. Specific questions may be directed to Dr. Lou Ann Berman, Assistant Vice President for Assessment and Institutional Effectiveness at 903-565-5955 or lberman@uttyler.edu.

Approval of purchases, expenditures, and personnel appointments. UT Tyler's purchasing, accounting, and human resources system (collectively, the "DEFINE" administrative system) is a paperless system. All "documents" are routed and approved electronically within the DEFINE administrative system. A department head or budget authority approves a document by typing "APP" in a designated field and pressing ENTER. Department heads should remember three important points when approving electronic documents:

1. Never disclose your DEFINE password to anyone; disclosing your password is a crime. Furthermore, do not write or otherwise document your password in a place that is accessible by others.
2. Do not approve an electronic document unless you have reviewed the supporting documentation (bids, purchase order, invoice, receiving report, etc.) and concluded that the supporting documentation is complete and accurate.
3. All supporting documentation must be filed in an orderly manner and retained in the budget authority's department in accordance with UT Tyler's records retention schedule.

Management of account balances. Department heads and budget authorities are responsible for monitoring and managing their account balances to ensure that expenditures do not exceed available balances. The "GB2" screen in the DEFINE administrative system provides a real time on-line summary of budgeted amounts, expenditures, encumbrances, income, and free balances. DEFINE User Manuals are available from Financial Services.

Internal Control

Department heads and budget authorities are responsible for the design, execution, and effectiveness of a system of internal controls in their departments and budget units that provide reasonable assurance those operations are effective and efficient; assets are safeguarded; financial information is reliable; and laws, regulations, policies and procedures are complied with. Additionally, department heads and budget authorities are responsible for maintaining written documentation of the internal controls utilized in their department in order to comply with the Sarbanes-Oxley Act. Biennially, department heads and budget authorities are required to attend a two-hour Budget Authority training session. The training session presents the five essential components of an effective internal control system; those components are summarized as follows:

Control environment. The control environment is the control consciousness of a department or budget unit. Ethical leadership, competent employees, well-defined policies and procedures, and effective human resources management enhance a control environment.

Risk Assessment. Risk assessment is the identification and analysis of risks to the achievement of a department's or budget unit's operational, financial, and compliance goals and objectives. Department heads and budget authorities are required to update their Risk Assessment footprint on an annual basis and submit them to UT Tyler's Audit Services Office.

Control activities. Control activities are those actions taken by a department or budget unit to manage its risks. Control activities in approvals, authorizations, verifications, reconciliations, reviews of performance, security of assets, segregation of duties, controls over information systems—any activity that mitigates a risk to an acceptable level.

Information and communication. Information and communication are the methods that a department or budget unit employs to inform and communicate up, down, and across an organization. Reliable and relevant information must be identified, captured, processed, and communicated to people who need it in a form and timeframe that is useful.

Monitoring. Monitoring is the continuous assessment of internal control performance over time; it is accomplished by ongoing monitoring activities and by separate evaluations of internal control such as control self-assessments, quality assurance reviews and compliance inspections. UT System's Action Plan to Enhance Internal Controls requires that every budget authority complete, sign, and submit a Certification letter on their accounts to the Office of Business Affairs every September for the close of the previous year. Finally, every department and budget unit should expect its system of internal controls to be reviewed by UT Tyler's Compliance Office on a rotating schedule basis.

Compliance with Laws, Regulations, Policies and Procedures

Department heads and budget authorities must ensure compliance with laws, regulations, policies, and procedures that apply to their departments and budget units. The following section of the handbook summarizes significant laws, regulations, policies and procedures most applicable to managing a department or funds.

Business Contracts

The Contract Administrator is responsible for the review and processing of all financial and non-financial contracts, except grant funded and sponsored research contracts which are reviewed by the Office of Sponsored Research. All contracts, regardless of dollar amount, must be reviewed prior to execution and must be signed by a University officer with delegated signature authority. Questions should be directed to Lee Murray at (903) 565-5808 or lmurray@uttyler.edu

Endowment Management

As with all accounts in their budget group, endowment accounts require prudent fiscal management by budget authorities of the accounts(s), including adherence to donor restrictions, monthly reconciliations, and appropriate documentation.

The endowment agreement by the donor and designated institution officials specify rules and guidelines that regulate and reinforce good stewardship for endowment distribution use. Unused accumulations of income must maintain a DEFINE balance of **less than two times the annual distribution** by the end of the academic year. Policies mandate that each year endowment distributions are to be used entirely for the purposes outlined in the endowment agreement and in institutional policy. Budget authorities are required to provide documentation on exceptions to the rules to the Office of University Advancement.

Budget authorities are required to provide annual stewardship reports to endowment donors through the Office of University Advancement, documenting how the funds were utilized for the benefit of students, faculty, or programs.

In addition, an annual report is submitted by the University to the UT System Office of External Relations to be presented to the Chancellor and the Board of Regents. The report details endowments with unspent distributions, excessive balances in the local accounts, and unfilled academic positions.

Specialized training for budget authorities and/or their designees and online resources for endowment policies is available from University Advancement.

Copyright Laws

The University of Texas System Administration has created a copyright crash course explaining how ownership of copyrighted material works, what constitutes fair use, and how to get permission to use someone else's materials. The crash course can be found at: <http://www.utsystem.edu/ogc/intellectualProperty/copyrighthome.htm>

Records Retention

Department heads and budget authorities should ensure that records are retained in accordance with the State of Texas records retention requirements. Key general requirements for departments are summarized as follows:

- Fiscal records—through the end of the fiscal year plus three years.
- Contracts and leases—until the contract or lease expires plus four years.
- Employment records—until terminated plus five years.
- Student records—permanently.

Always consult UT Tyler's record retention schedule which is available on the Business Affairs homepage. Click on the below link to view the schedule:

[UT Tyler's Records Retention Schedule](#)

Specific questions about records retention requirements should be directed to the Compliance Director at (903) 566-7151.

Records Storage and Disposal Policy

The Physical Plant at UT Tyler offers a storage room for departments to store old files until the actual destruction date is met. To store boxes in that room, the boxes must be labeled and handled per the UT Tyler Records Storage and Disposal Policy which can be found at:

<http://www.uttyler.edu/physicalplant/recordspolicy.php>

Specific questions about records storage or disposal at the Physical Plant should be directed to Paul Weil at (903) 566-5671.

Protecting the Confidentiality of Social Security Numbers

It is the policy of UT Tyler to protect the confidentiality of social security numbers without creating unreasonable obstacles to conducting business. There are procedures to

follow when a social security number is collected. The University's policy and procedures on protecting the confidentiality of social security numbers can be found at: <http://www.uttyler.edu/businessaffairs/ss/> Questions about the policy should be directed to the Information Security Officer at (903) 566-7292.

Texas Public Information Act

Written requests through US mail or hand delivered on campus for documents under the Texas Public Information Act should be directed to the Compliance Officer or his designee, the Director of Compliance immediately upon receipt and handled pursuant to the provisions of the Act. Written requests through email must be sent to publicinfo@uttyler.edu or if by fax to 903-566-8368 as posted on the university's website. If you received an email or a fax, please respond immediately to the requestor with the correct email address or fax number. Upon receipt of a valid request, the Compliance Officer or his designee consults the Office of General Counsel to determine whether prior decisions of the Attorney General dispose of any questions concerning a request for documents. If there is no previous opinion of the Attorney General that determines whether the requested material falls within one of the exceptions to disclosure, a request for an opinion of the Attorney General determining whether the information comes within an exception must be requested within ten (10) business days of the receipt of the request for information. Generally, student records are confidential records. Student disciplinary records are to be maintained separate from the student's academic records and are also confidential. More information on how to handle open records requests can be found at: <http://www.utsystem.edu/OGC/openrecords/openrecordstoc.htm> Questions should be directed to the Compliance Director at (903) 566-7151.

Media Relations

The Office of Marketing and Communications serves as the university's initial point of contact for all media. As a result, Marketing and Communications coordinates media events such as requests for interviews, news conferences, etc. University employees can, but are not obligated to, grant interviews with the media when contacted by the Office of Marketing and Communications or by the media directly.

If contacted by the media directly, employees may provide the requested information or refer the reporter to the Office of Marketing and Communications for further assistance. Contact: Hannah Buchanan, (903) 565-5769

Use of UT Tyler Registered Marks

Only official registered marks of the university should be used in the production of printed materials, promotional items, etc. The registered marks include the university logos, athletic logos and the university name. Use of these marks for print and promotional merchandise (shirts, banners, signage, uniforms, pens, cups, etc.) is managed

by the UT Tyler Office of Marketing and Communications to maintain consistency with university standards and policies.

To submit request for usage, please contact Beverley Golden, (903) 566-7303.

UT System Fraud Policy (UTS 118)

Purpose

Each institution has established reporting structures and responsibilities within their institution. The purpose of this statement is to establish System policy regarding internal investigations of suspected defalcation, misappropriation, and other fiscal irregularities, which is supplemental to the internal administrative policies established at each institution.

Good business practice dictates that every suspected defalcation, misappropriation and other fiscal irregularity be promptly identified and investigated.

Definitions

The following terms are defined as follows:

System - The University of Texas System Administration and institutions, collectively;

Employee - All personnel employed by the System including faculty, staff, residents and student-employees;

Office of Internal Audit - The department or office at each institution and at System Administration responsible for the internal audit function at that institution or System Administration;

Director of Internal Audit - The individual at each institution and at System Administration responsible for directing the internal audit function at that institution or administrative unit;

Audit Committee - The committee at each institution and at System Administration responsible for audit oversight at that institution or administrative unit;

University Police - The department or office at each institution and at System Administration responsible for the police function at that institution or administrative unit;

Director of Police - The individual at System Administration responsible for directing the police function;

Office of General Counsel- The office at System Administration responsible for the legal function;

Institution legal advisors - Institution personnel responsible for the coordination of legal matters with the Office of General Counsel.

Compliance Office – The department or office at each institution and at System Administration responsible for the compliance function at that institution or administrative unit;

Compliance Officer – The individual at each institution and at System Administration responsible for directing the compliance function at that institution or administrative unit.

1. General

1.1 The terms defalcation, misappropriation and other fiscal irregularities include but are not limited to any:

- Dishonest, illegal, or fraudulent act involving System property;
- Forgery or alteration of checks, drafts, promissory notes, and securities;
- Forgery or alteration of employee benefit or salary related items such as time cards, billings, claims, surrenders, assignments, changes in beneficiary, etc.;
- Forgery or alteration of medical related items such as reports, charts, prescriptions, x-rays, billings, claims, etc.;
- Forgery or alteration by employees, of student related items such as grades, transcripts, loans, fee or tuition documents, etc.;
- Misappropriation of funds, securities, supplies or any other asset;
- Illegal or fraudulent handling or reporting of money transactions;
- Acceptance or solicitation of any gift, favor, or service that might reasonably tend to influence the employee in the discharge of his or her official duties;
- Destruction or disappearance of records, furniture, fixtures, or equipment where theft is suspected.

1.2 Allegations involving scientific misconduct will be handled in accordance with the controlling institutional policies based upon the UT System Policy entitled "Procedure for Dealing with Allegations of Misconduct in Science".

1.3 Management is responsible for establishing and maintaining a system of internal control that provides reasonable assurance that improprieties are prevented and detected. Each manager should be familiar with the types of improprieties that might

occur in his/her area and be alert for any indication that such a defalcation, misappropriation, or other fiscal irregularity has occurred.

1.4 Management will support the System's fiduciary responsibilities and will cooperate with law enforcement agencies in the detection, investigation, and reporting of criminal acts, including prosecution of offenders. Every effort should be made to recover System losses.

1.5 The Office of Internal Audit will supervise all audits of allegations of defalcation, misappropriation, and other fiscal irregularities. When an audit reveals suspected criminal activity, or an audit is initiated due to an allegation of criminal activity, the University Police will be notified immediately.

1.6 When an audit involves allegations, or reveals suspected criminal activity which may constitute a felony offense, the Director of Internal Audit shall, when appropriate, immediately notify the Chief Administrative Officer, or his/her designee, and then notification will be given to the System Director of Audits. The Director of Internal Audit shall consult with institution legal advisors or the Office of General Counsel and the Office of General Counsel will be kept informed regarding the progress of the audit.

1.7 It is the responsibility of the Chief Administrative Officer to notify the appropriate Executive Vice Chancellor of criminal activity, as appropriate.

1.8 The Director of Police should be made aware of all felony fraud investigations and will be kept current by University Police, of the progress of investigations conducted by institution police departments.

1.9 In accordance with Regents' Rules, the appropriate Chief Business Officer will notify the Executive Vice Chancellor of Business Affairs as soon as it is known that a loss has occurred for approval of all insurance and fidelity bond claims.

1.10 The Office of Internal Audit, University Police, institution legal advisors and the Office of General Counsel will coordinate assistance provided to state, federal and local law enforcement agencies. All requests for information and/or assistance from such agencies, received by other areas, shall be immediately forwarded to the University Police for determination and handling. All reasonable assistance will be given to law enforcement agencies when requested.

1.11 All requests for information and assistance related to investigations conducted by auditors of federal and state agencies, which are concerned with potential dishonest or fraudulent activities within the System, shall also be forwarded immediately to the Director of Internal Audit who shall consult with the Office of General Counsel or institution legal advisors who shall notify the Office of General Counsel.

1.12 In order to avoid the use of investigatory techniques that might prevent evidence from being used in a criminal prosecution, University Police will coordinate the criminal investigation once probable criminal activity has been detected. The Office

of Internal Audit shall assist the University Police in investigations of suspected defalcation, misappropriation and other fiscal irregularities that require accounting and auditing knowledge of System records.

1.13 The Office of Internal Audit will keep its workpapers secure and limit access to only those individuals designated by the Director of Internal Audit.

1.14 The Office of Internal Audit is available and receptive to receiving relevant information on a confidential basis, subject to the provisions of the Texas Public Information Act. Employees and students may directly contact the Director of Internal Audit, the Compliance Officer, the University Police, or executive management, whenever an activity is suspected to be dishonest or fraudulent. The reporting individual should not attempt to personally conduct investigations or interviews/interrogations in order to determine whether or not a suspected activity is improper.

1.15 In order to avoid damaging the reputations of innocent persons initially suspected of wrongful conduct, and to protect the System from potential civil liability, the results of audits/investigations will not be disclosed or discussed with anyone other than authorized representatives of law enforcement and/or regulatory agencies, and only those persons associated with the System who have a legitimate need to know such results in order to perform their duties and responsibilities, subject to the provisions of the Texas Public Information Act.

2. Audits/Investigations

2.1 Audits revealing violations of the Penal Code for which an audit report will be issued should be reduced to final report form only after consultation by University Police with the local prosecutor or the Office of General Counsel to ensure that appropriate documentation of the facts has been achieved in order to permit appropriate personnel action, protect innocent persons, support appropriate civil or criminal actions, document claims made pursuant to applicable fidelity bonds, preserve the integrity of the criminal investigation and prosecution and avoid unnecessary litigation.

2.2 Great care must be taken in the investigation of suspected improprieties or irregularities so as to avoid incorrect accusations or alerting suspected individuals that an audit is underway and also to avoid making statements which could provide a basis for a suit for false accusation or other offenses. Accordingly, the reporting individual should not:

2.3 Contact the suspected individual to determine facts or demand restitution;

2.4 Discuss any facts, suspicions or allegations associated with the case with anyone, unless specifically directed to do so by the Office of Internal Audit, Compliance Officer, University Police, institution legal advisors or the Office of General Counsel.

2.5 All inquiries from the suspected individual, their representative or their attorney shall be directed to institution legal advisors or the Office of General Counsel. Proper response to such an inquiry should be, "I'm not at liberty to discuss this matter." Under no circumstances should there be any reference to "what you did," "the crime," "the fraud," "the forgery," "the misappropriation, or similar references.

2.6 All reproduction of documents, evidence, and reports shall be performed within the secured work area of the Offices of Internal Audit or University Police.

2.7 To the extent permitted by the applicable provisions of the Texas Public Information Act, confidentiality of those reporting dishonest or fraudulent activities will be maintained. However, the confidentiality cannot be maintained if that individual is required to serve as a witness in legal proceedings.

2.8 When an audit initiated due to an allegation of criminal activity has failed to detect criminal activity or when advised by the Office of General Counsel, the Director of Internal Audit has the discretion to stop the audit. Provided, however, that with regard to criminal investigations conducted by University Police only the Office of the District Attorney is authorized to review the progress of the criminal investigation and make the legal determination regarding whether to pursue a criminal prosecution.

3. Operational Audit Findings

3.1 Each investigation of possible dishonest or fraudulent activities has the potential to provide a unique insight into specific activities conducted by the System and may disclose control weaknesses and other areas that need additional auditing or management's attention.

3.2 The Office of Internal Audit must review each investigation to determine if additional work needs to be done in order to provide the Audit Committee and management with a basis for taking any corrective action necessary.

Summary of Operating Procedures and Guidelines

Environmental Health & Safety

Department heads and budget authorities are responsible for workplace safety in their respective areas including training, safety equipment and personal protection equipment, environmental protection and accident prevention. If a department head or budget authority has a question about environmental health and safety laws and regulations, he or she should call UT Tyler's Director of Environmental Health and Safety (EH&S) at (903) 566-7011.

Emergency Guidelines. UT Tyler's Crisis Management Plan and Emergency Guidelines are available at: <http://www.uttyler.edu/safety/policiescontents.html>. These guidelines cover roles and responsibilities of faculty and staff in the event of a campus emergency (e.g., fire, bomb threat, inclement weather, medical emergency, etc). Faculty members should review emergency guidelines with students at the beginning of each semester. UT Tyler's emergency telephone number is ext. 7300. Drills (fire, tornado, or bomb) will be held during the course of the year to familiarize all employees with routes and procedures. Department heads will ensure that all employees know appropriate evacuation routes and participate in drills. Faculty members are expected to advise students of appropriate evacuation routes from the classroom.

Disaster Recovery Plans. Departments need to have a plan to identify immediate needs in salvaging undamaged equipment and records, identification of needed repairs, and development of return-to-work schedule.

Departmental Safety Liaisons. Each department head should appoint, or coordinate with another department, a representative to UT Tyler's Departmental Safety Liaison Committee. Department liaisons help to disseminate safety information and sponsor safety training in departments. Department liaisons also have important responsibilities in the event of an emergency.

Workers' Compensation Claims. Human Resources will help employees obtain Workers' Compensation benefits when an employee has been injured on the job. Human Resources also assist departments with adhering to the rules and regulations of the Texas Workers' Compensation Act. In the event of an on-the-job injury (including student workers), notify the following departments: University Police (903) 566-7300 if emergency response and transport is needed, EH&S (903) 566-7011, and Human Resources (903) 566-7358. This notification must be done within 24 hours of the accident and Employee Report of Injury (<http://www.uttyler.edu/safety/forms.html>) and Supervisor's First Report of Injury (same web address) must be completed and hand-delivered or faxed to Human Resources.

Special Events Checklist. A Special Event can be any event that occurs that is outside of the day-to-day normal operations of the University of Texas at Tyler. Special Events are usually short-term, and they can expose UT-Tyler to increase direct or indirect risks. Examples include fundraisers, concerts, sporting/athletic events involving outside parties, political events, conferences, camps, etc. The Special Event Check List <http://www.uttyler.edu/safety/riskchecksheet.pdf> will provide the budget authority with a starting point in identifying risks, mitigating factors, and departments that need to be included in the planning process. If food will be distributed, a Special Event Food Form <https://www.uttyler.edu/sll/studentorganizations/documents/FacilityRequestForm.pdf> must be completed.

Student Injuries. Student injuries should be reported to University Police (ext.7300) if emergency or evening, ext.7060 if day and none emergency), Student Affairs (903) 565-5651, and EH&S (903) 566-7011.

Chemical Hygiene Plans/Laboratory Safety Manual. Department of Chemistry Chemical Hygiene Plan is available at <http://www.uttyler.edu/safety/chemplan2002.pdf>. Copies of UT Tyler's Laboratory Safety Manual are available from EH&S (903) 566-7011. This manual covers chemical, biological, radiation, and physical safety in departmental laboratories. Faculty members are expected to incorporate these guidelines into their course curricula.

Laboratory Safety Audits. EH&S will conduct yearly laboratory safety audits to ensure that all applicable policies and procedures are being followed. Department heads will review and respond to areas needing improvement.

Laboratory Waste Management Guidelines. UT Tyler's Laboratory Waste Management Guidelines is located at <http://www.uttyler.edu/safety/labwastemanual.pdf>. These guidelines cover the collection and disposal of chemical, biological, and special materials.

Financial Services

Accounts Payable

The Accounts Payable function at UT Tyler is decentralized. University departments originate electronic vendor payment documents based on supporting purchase orders, receiving reports, and invoices received. Upon departmental approval, the electronic document automatically routes to Central Accounts Payable in Financial Services, where it is reviewed for appropriate expenditure object codes and payment terms/dates. Documents with discrepancies are returned to the department for correction. Upon final approval of the document, the payment date is automatically scheduled in DEFINE. Vendor checks are printed in Student Business Services at approximately 12:00 noon, Monday-Friday, based on the scheduled payment dates. Accounts Payable questions should be directed to Faye Baxter-Jones at (903) 566-7231 or accounts_payable@uttyler.edu.

The voiding and/or reissuing of vendor checks are handled through the **Cash Accounting** section of Financial Services (See "Cash Accounting" section below).

Cash Accounting

The Cash Accounting section in Financial Services is responsible for managing the University's banking relationships, reconciling the University's bank accounts, and providing various services to the campus community such as (1) researching lost or stolen checks, (2) issuing stop payments on stolen checks or checks lost 10 or more days, (3) voiding checks that have been lost or processed in error, (4) issuing check copies, and (5) processing wire transfers. Questions should be directed to Phil Smith at (903) 566-7452 or Phil_Smith@uttyler.edu.

Separate checking accounts. UT Tyler policy does not permit anyone to open or use a separate checking account for activities associated with UT Tyler.

Cash Management

Timely Deposits. Money received by all departments from all sources shall be deposited in the Cashiers Office in Student Business Services at The University of Texas at Tyler main campus unless the Vice President for Business Affairs has specifically authorized depositing directly to the University's bank account (e.g. Longview University Center, Cowan Center). Deposits shall be daily if the receipts are \$200 or more, and weekly even if the accumulation is less than \$200. Except in the case of special arrangements approved by the Vice President for Business Affairs, the deposit shall be made in person by a departmental representative to whom an official receipt will be issued. (Source: Regents Rules, Part Two, Chapter III, Section 2.1).

Petty cash accounts. UT Tyler's policy is to discourage the use of petty cash accounts. In lieu of petty cash accounts, UT Tyler provides Chase Purchasing Cards for purchases up to \$999.00 (*see Procurement Card Purchase Program section*). Petty cash accounts require the annual approval of the Vice President for Business Affairs. For more information, see the Handbook of Operating Procedures.

Separate checking accounts. UT Tyler policy does not permit anyone to open or use a separate checking account for activities associated with UT Tyler.

Historically Underutilized Business Program (HUB)

The HUB Coordinator in Financial Services is responsible for the administration of the State of Texas HUB Program for UT Tyler. UT Tyler is committed to maximizing the opportunity for HUB companies to provide materials, supplies, equipment, and services needed to support the University.

HUB Goals. Department heads and budget authorities should plan and monitor their annual purchases to achieve the State of Texas annual procurement goals for HUBs, as follows:

<u>Procurement Category</u>	<u>HUB Purchases as a % of Total Purchases</u>
Heavy construction	11.9%
Building construction	26.1%
Special trade construction	57.2%
Commodities	12.6%
Professional services	20.0%
Other services	

Certified HUB vendors can be identified by accessing the Texas Procurement and Support Service's Centralized Master Bidders List and HUB Search via the Internet at the following location: <http://www2.cpa.state.tx.us/cmb/cmbhub.html>

HUB Reports and Training. The HUB Coordinator provides department heads and budget authorities with monthly reports on HUB purchases. Department heads and budget authorities should use these reports to monitor the achievement of HUB purchasing goals. The HUB Coordinator conducts periodic HUB Training. The training, which is available to all faculty and staff, provides assistance with HUB program compliance. Departments will receive HUB credit on all purchases (including procurement card purchases) made from certified HUB vendors.

Questions about the HUB program should be directed to Wendy Minix at (903) 566-7226 or wminix@uttyler.edu.

Interdepartmental Transfer Vouchers

Financial Services processes interdepartmental transfer vouchers (e.g., postal charges, copier charges) and correction vouchers. For assistance, contact Wendy Minix at (903) 566-7226 or wminix@uttyler.edu.

Payments to Individuals and Consultants

Payments to individuals - employees. The budget authority must approve payments to UT Tyler employees for services unrelated to or over and above their regular job duties on an Authorization of Personal Services form prior to the engagement of such services. All payments to employees are subject to withholding and employment taxes.

Payments to individuals using SSN to conduct business- other than UT Tyler employees may be approved by the department head or budget authority after the department head or budget authority (1) completes a UT Tyler Authorization of Personal Services form and an Employee/Independent Contractor Classification Worksheet prior to the engagement of such services and (2) forwards both forms to the Payroll section of Financial Services for review and approval. Both forms are needed to comply with Internal Revenue Service (IRS) rules and regulations. Also, an appropriate payroll document or purchase requisition must be entered into the DEFINE accounting system.

Payments to consultants. The engagement of a consultant must be approved in advance by the President. A consultant is a person who provides the service of studying or advising a state agency under a contract that does not involve the traditional relationship of employer and employee (Texas Government Code § 2254.021(1)). Texas Government Code Section 2254.026 states that agencies may use consultants only if:

1. There is a substantial need for the consulting services; and
2. The agency cannot adequately perform the services with its own personnel or obtain the services through a contract with a state governmental entity.

Employees of one institution of the UT System may serve as a consultant to another institution or agency of the state provided the chief administrative officer of each institution or agency approves the Interagency Agreement contract in advance and forwards a copy of the approved contract to the Vice Chancellor for Academic Affairs.

All proposals and contracts for consulting services shall be processed through the Purchasing Manager at UT Tyler who shall determine what documentation shall be submitted by the requested office or department. All consulting service contracts entered into by UT Tyler shall be in accordance with the Code of Ethics and established purchasing/contracting practices and procedures as outlined in UTS128.

None of the funds appropriated to an institution of higher education may be used to enter into a consultant service contract with any individual who has been employed previously by that institution within the past twelve months. In addition, Texas Government Code Section 2254.033 imposes certain disclosure requirements for any proposed consultant who was previously employed during the preceding twenty-four months.

Questions should be directed to Sherre Holmes at (903) 565-5802 or Sherre_Holmes@uttyler.edu.

Payroll Procedures

Employee Appointments. *Full time employees* are paid a monthly salary following completion of appointment on the DEFINE system and completion of all required Human Resources forms. Appointments approved after processing deadlines will pay retroactively on the next payroll. Appointment changes approved after processing deadlines for mid year raises, split appointments, or department changes will pay retroactively on the next payroll. Although full time employees are paid on a monthly basis, they must work the entire month to be entitled to a full month's pay.

Overpayments may occur if the supervising department fails to change an appointment for a full time employee whose accrued leave is exhausted or for a summer class that is cancelled and the corresponding faculty appointment is not cancelled prior to payroll processing deadlines. All payroll overpayments are recouped from the overpaid employee in full on the next payroll. Most *part time employees* are paid hourly wages on a semi monthly payroll following completion of appointment on the DEFINE system and completion of all required Human Resources forms. Supervising departments are responsible for reviewing and approving timesheets and entering hours worked prior to posted payroll processing deadlines. Part time employees will receive their paychecks late if the supervising department fails to enter timesheet data or approve payroll voucher documents prior to payroll processing deadlines.

Payroll questions should be directed to the Payroll section of Financial Services at (903) 566-7229 or Payroll@uttyler.edu.

Petty cash and change fund accounts

UT Tyler's policy is to discourage the use of change funds and petty cash accounts. In lieu of petty cash accounts, UT Tyler provides Chase Purchasing Cards for purchases up to \$999.00 (*see Procurement Card Purchase Program section*). Petty cash and change fund accounts require the approval of the Vice President for Business Affairs. For more information, see the Petty Cash Policy and the Cash Handling Policy in the Handbook of Operating Procedures.

Property and Equipment

Capital equipment inventory. Equipment purchases with a per unit cost of \$500 or more for controlled assets (e.g. audio-visual equipment, computer equipment, data projectors) and a per unit cost of \$5,000 or more for non-controlled assets (i.e., durable assets with a useful life greater than one year) must be tagged, inventoried, and physically verified at least annually. The Inventory Coordinator in Financial Services is responsible for tagging new equipment. Department heads and budget authorities are responsible for physically verifying the accuracy and completeness of their capital equipment listings each year. Exception for controlled assets – all computers must be inventoried, regardless of dollar amount.

Disposal of capital assets. When a capital asset becomes obsolete or useless for the needs and purposes of a department or budget unit, it should be offered to other departments (via Campus Bulletin Board e-mail) before transferring the capital asset to Physical Plant's Central Warehouse. A "Report of Transfer of Equipment" form should be completed and forwarded to Financial Services when capital equipment is transferred to the Central Warehouse or another University department. This form can be found at <http://www.uttyler.edu/finserv/forms.php> under "Inventory." If the Director of Physical Plant determines that items in the Central Warehouse are not needed for future use, the Director will proceed to dispose of the items in accordance with state law and Regents' Rules and Regulations.

Safeguarding assets. Department heads and budget authorities are responsible for securing and safeguarding all university assets in the possession of their departments or budget units. University property and equipment of all types, including technical and research facilities of the University, are to be used only for official business. University equipment may not be taken off the University campus unless it is to be used for official business and approval has been obtained to remove the equipment from campus. Approval is obtained by filling out the "Property Removal Permit" form and obtaining all required signatures.

Missing or stolen property should be reported to (1) the University Police and (2) the Office of Financial Services. If a university asset is lost, destroyed, or damaged as a result of the negligence or the fault of a UT Tyler employee, Government Code Section 403.276 requires that the loss, destruction, or damage be reported to the state auditor and attorney general. If the attorney general concludes that the UT Tyler employee was at fault, the attorney general will require the employee to reimburse UT Tyler for the loss sustained.

Questions should be directed to Brenda Bowie at (903) 566-7409 or bbowie@uttyler.edu.

Purchasing Procedures

Purchasing at UT Tyler is semi-decentralized. University departments may process orders up to \$5,000, with a few exceptions. The Purchasing section of Financial Services processes these exceptions and all orders in excess of \$5,000.

Section 51.9335, Education Code, authorizes institutions of higher education to use “best value” procurement procedures, which provide greater autonomy and flexibility in the procurement of goods and services. “Best Value” means the optimum combination of economy and quality that is the result of fair, efficient, and practical procurement decision-making and which achieves the procurement objectives of UT Tyler.

Department and budget units may use the State of Texas Procurement Card for purchases up to \$2,000 (*see Procurement Card Purchase Program section*).

Procurements that do not conform to the State of Texas purchasing requirements are required to be paid out of local funds. Procurements that do not conform to UT Tyler purchasing requirements must be approved by the President or a Vice President over the area procuring the goods or services.

Purchasing Rules and Guidelines

- 1) Rules (regardless of Source of Funds)
 - a) Any state employee who is involved in purchasing, negotiating or approving a purchase must sign a **Conflict of Interest Statement**.
 - b) Funds may not be spent, regardless of their source or character, for the purpose of influencing the outcome of any election, or the passage or defeat of any legislative measure, i.e. **lobbying**. Government Code § 556.004. As a result, a state agency may not join a chamber of commerce (State of Texas Purchasing Guide § 2.131 2.149).
 - c) Political contributions from any source of funds are prohibited.
 - d) State Agencies generally cannot make **payment in advance**. Government Code § 2155.383, Texas Education Code § 62.021(a).
 - e) For copying and printing services, contact Todd Haines, UT Tyler Copy Center Manager, at extension 7236 Library 102. Todd will provide a UT Tyler Copy/Print Center price quote for the service or assist the purchasing department in obtaining bids if the service is in excess of \$5,000.

- 2) Purchasing Matrix:

All Accounts	Bid Requirement	Purchase Requisition Document
\$0 - \$5,000	Bids Not Required, Department Calls Vendor	PBO (Small Order)
\$5,001 or greater	U T Tyler Purchasing Solicits Written quotes, Bids, or Proposals	PB4 (or \$0 - \$5,000 for a P.O. to be mailed to Vendor)
Goods and Services on State Contract No Dollar Limit OPTIONAL	Bids Not Required Note: Minimum Order Requirements	PB7 for Automated Contracts PBO or PB4 For Non-Automated Contracts

Sales Tax. The payment of sales tax is prohibited since UT Tyler is a tax-exempt entity.

Purchases from an employee. Purchases up to \$5,000 from an employee of supplies, materials, services, equipment, or property must have (1) the prior approval of the

President and (2) cost less than from any other source. Purchases in excess of \$5,000 from an employee of supplies, materials, services, equipment, or property must have (1) the prior approval of the President and the Vice Chancellor for Academic Affairs and (2) cost less than from any other source. This policy does not apply to purchases made at a public auction.

Membership Dues. All association and other membership dues must be approved by the President, or his designee, prior to payment. State funds may be used only for institutional memberships.

Processing invoices within 8 days. Title 1, Part V, Chapter 114, Subchapter A of the Texas Administrative Code requires that departments and budget units process payments to vendors (in DEFINE) no later than 8 calendar days after the later of (1) the date a department or budget unit receives an invoice or (2) the date the department or budget unit receives applicable goods or services. The Code also requires that departments and budget units date stamp all invoices. If there is a problem with an invoice, the department or budget unit must communicate the problem to the vendor within 21 calendar days after receipt of the invoice. A vendor is due interest if payment is not mailed to the vendor in 30 days (see “Prompt Payment Act” below). A vendor may submit a claim for payment of accrued interest no later than six months after receipt of payment.

Prompt Payment Act. A payment by a governmental entity is overdue on the 31st day after the later of (1) the date the governmental entity receives the goods under the contract; (2) the date the performance of the service under the contract is completed; or (3) the date the governmental entity receives an invoice for the goods or services. If the agency’s payment is not mailed or electronically transmitted before the payment is overdue, the agency is liable for an interest payment that accrues under this law. A payment begins to accrue interest on the date the payment is overdue.

There are documentation requirements for compliance with the prompt payment law, as follows:

- Dated purchase order, internal requisition, contract or agreement
- Dated receiving report, or statement showing date services were completed according to the contract under which they were procured
- Dated invoice for goods or services

Discrepancies between the terms of the purchase order / contract and the goods and services that were provided must be documented. This documentation should include the nature of the dispute, dates surrounding the dispute, communications with the vendor over the dispute, and when and in whose favor the dispute was resolved.

The Comptroller may ask for this documentation during a post-payment audit of the agency or whenever an agency seeks exception to interest being generated for a particular payment. Please keep in mind that these requirements will also apply to payments from funds held locally.

Exceptions to Prompt Payment Act. There are exceptions to the Prompt Payment Act, as follows:

(1) there is a bona fide dispute between the University and a vendor, contractor, subcontractor, or supplier about the goods delivered or the services performed that causes the payment to be late; (2) there is a bona fide dispute between a vendor and a subcontractor or between a subcontractor and its supplier about the goods delivered or the services performed that causes the payment to be late; (3) the terms of a federal contract, grant, regulation, or statute prevent the governmental entity from making a timely payment with federal funds; or (4) the invoice is not mailed to the person to whom it is addressed in strict accordance with any instruction on the purchase order relating to the payment. Source: Texas Government Code 2251.002.

Purchasing questions should be directed to Sherre Holmes at (903) 565-5802 or Sherre.Holmes@uttyler.edu.

Procurement Card Purchase Program

The purchasing card is intended to offer an alternative payment method for small purchases. Each individual card has a credit limit of \$5,000 per billing cycle and a transaction default limit of \$999. The transaction limit may be increased to \$2,000 with budget authority approval. The purchasing card may be used to purchase the following items or services: Office supplies, research supplies, or miscellaneous items that are not available from TIBH. The purchasing card may not be used for travel, entertainment, controlled or hazardous materials, and certain other restricted purchases outlined in the procurement card guidelines. Applications for procurement cards are available in the Office of Financial Services. Each applicant will be required to complete a card set-up form and is responsible for using the card for authorized purchases only. A complete list of guidelines will be provided to those approved for procurement card usage. Departments will receive HUB credit on all procurement card purchases made from certified HUB vendors. See the Procurement Card Policies and Procedures on the Financial Services website for more information.

Purchasing questions should be directed to Sherre Holmes at (903) 565-5802 or Sherre.Holmes@uttyler.edu.

Report Distribution

Financial Services is responsible for distributing voucher printouts via DEFINE. For assistance, contact Wendy Minix at (903) 566-7226 or wminix@uttyler.edu.

Travel

General. Travel by University employees is governed by the General Appropriations Act, the Rules and Regulations of the Board of Regents, official interpretations of the State of Texas Travel Regulations Act by the State Comptroller of Public Accounts, and by the University's policies and procedures. All employees are required to be aware of the laws, rules, and regulations governing travel by state employees. Failure to comply could result in non-reimbursement of travel expenses. The University's travel policies and procedures can be found on the Financial Services website at the following link:

http://www.uttyler.edu/finserv/documents/PoliciesandProceduresHandbook_Travel_000.pdf

Note: Individual departments may impose stricter guidelines as long as departmental employees are notified, in writing, prior to the implementation of the guidelines.

Travel Authorization. Prior supervisory approval for all University travel is required for absences from the campus (or other designated headquarters) for periods of half a day or more during the normal working period, whether or not there is a cost to the University. All travel must clearly involve official state business and be consistent with UT Tyler's legal authority. A Request for Travel Authorization (RTA) should be completed in the DEFINE system and approved by the immediate supervisor. Appropriate arrangements for disposition of duties must be made in advance of the travel. **Additional approvals** or preparations may also be required as indicated below.

1. All travel to Washington, D.C. requires prior notification to The Office of State and Federal Relations or The University of Texas System, depending upon the purpose of such travel. Notification must be processed before creating the RTA. If the travel purpose is to confer on legislative or appropriations issues with the U.S. Congress or Federal Government staff or officials, then the traveler must notify The Office of State and Federal Relations at <http://www.osfr.state.tx.us/>. For all other travel to Washington, D.C., the traveler must notify The University of Texas System Office of State and Federal Relations via e-mail to rfalcon@utsystem.edu.
2. Foreign travel, other than Canada, Mexico, U.S. territories (Virgin Islands and Guam), and U.S. protectorates (Jamaica) must be authorized in advance by completing the *Request for Approval to Travel to Foreign Countries* form at http://www.uttyler.edu/finserv/documents/-Foreign_8-08_002.doc.

For more specific instructions regarding travel authorizations, refer to the University's travel policies and procedures located on the Financial Services website at: http://www.uttyler.edu/finserv/documents/PoliciesandProceduresHandbook_Travel_000.pdf

Cash Advances. The University does not provide cash advances to travelers. In lieu of cash advances, UT Tyler's authorized travel agent centrally bills the University for airfare and rental cars. Also, UT Tyler corporate credit cards are available for business travel. For more information regarding corporate credit cards, contact the Travel Coordinator in the Financial Services department.

Reimbursements. Any University employee, prospective employee, student, or independent contractor is entitled to reimbursement for travel expenses incurred while conducting official University business. However, required receipts must be submitted prior to reimbursement. Failure to provide sufficient supporting documentation may result in non-reimbursement of travel expenses.

Reimbursements are processed on the DEFINE electronic Travel Payment Voucher (VP5). Receipts and other supporting documentation should be attached to the signed VP5 voucher transmittal form.

Travel rules and reimbursement rates can be found on the Financial Services website at <http://www.uttyler.edu/finserv/travelservices.php>.

Prospective Employees. When a prospective employee is requested to travel for an employment interview, he or she may be reimbursed for travel expenses in the same manner as a state employee.

Local Funds. Travel rules for local accounts are the same as rules for state accounts unless prior approval is obtained from the Vice President for Business Affairs. Travel questions should be directed to Faye Ingram at fingram@uttyler.edu or (903)565-5981.

Human Resources Management

General

Hiring. The hiring process consists of (1) completing an Job Requisition Form, (2) approving a position's job description/specification, (3) posting the position, (4) advertising the position, if needed, to generate a reasonable applicant flow, (5) receiving electronic resumes or applications for classified positions (regular resumes and applications for all other positions), (6) evaluating qualified candidates, (7) interviewing the best qualified candidates, (8) Completing an Equal Opportunity Compliance Record/Form when ready to extend an offer, (9) extending a job offer to the best qualified candidate, (10) acceptance of the job offer by the candidate, (11) informing other applicants who were interviewed but not selected that someone else was hired, and (12) entering the personnel appointment into the DEFINE/HRMS administrative system.

Human Resources must have an approved job description/specification on file before it posts a position. Budget authorities must also complete a Job Requisition Form (electronic Job Requisition Form in the case of a classified position) before a job can be posted. All non-faculty positions to be filled must be posted by Human Resources for at least 10 consecutive working days. Positions to be posted and filled within a department or on-campus only (internal postings) must be posted for at least 5 working days. All position advertisements must be approved by Human Resources prior to placing the advertisement. Human Resources must receive all non-faculty resumes and applications. UT Tyler employees who will be interviewing candidates must read Legal and Effective Interviewing Techniques, which is available in Human Resources. The hiring authority must complete a UT Tyler Equal Opportunity Compliance Record and have it approved by Human Resources prior to extending a job offer. Written job offers/confirmations must be approved by Human Resources prior to mailing. Finally, copies of written job acceptances should be forwarded to Human Resources for approval.

If a position to be filled is a security-sensitive position, the Office of Human Resources will request and review the criminal history of the candidate who accepts the offer of employment. Criminal history requests are to be made after hiring an applicant and should be strictly limited to those applicants for a security-sensitive position. Human Resources maintain a list of security-sensitive positions. A candidate may begin work at UT Tyler before the results of the security screening have been received but the offer letter should contain a statement that employment is contingent on a satisfactory criminal history report.

Criminal history information will be maintained by Human resources in a separate and secured file and will not be part of the employee's personnel file.

Form I-9. Human Resources must verify the employment eligibility of all persons hired. All employees must present original documentation of identity and employment eligibility within three days after beginning work at UT Tyler. UT Tyler may not knowingly hire or continue to employ any person not authorized to work in the United States.

Workforce diversity. Department heads and budget authorities should strive to achieve workforce diversity in their departments and budget units (100% parity with the civilian labor force in applicable recruiting areas). Workforce diversity should be achieved for each classification of employment (i.e., faculty, staff, administrative and professional).

Classified employee personnel pay plan. The Office of Human Resources maintains the classified pay plan. The pay plan including job titles, job codes, job descriptions, salary ranges and FLSA status, EEO codes, and U.T. Tyler pay plan policies is available on the OHR website. Addition of a new title to the pay plan requires the approval of the administrative officer/VP for that division and the Director of Human Resources.

New employee orientation. All new employees must attend a new employee orientation session. Human Resources hosts orientation sessions on an individual or small group basis as needed.

UT Tyler benefits. UT Tyler benefits include the following:

- Employee group insurance and health benefits (medical, prescription drugs, and vision).
- Life and accidental death and dismemberment insurance.
- Teacher Retirement System (faculty, professional librarians, major department heads, and certain professional positions are eligible to participate in an Optional Retirement Program).
- Flexible spending account.
- Longevity pay (for classified and administrative positions).
- Tax sheltered annuities
- Membership at HPC campus fitness ctr. (\$10/mo. for employee - \$20/mo. family)

- Employee scholarships (tuition and fees paid for up to six hours per long semester and six hours during the summer) to attend classes at UT Tyler.
- Scholarships for the dependent children (tuition and fees paid) of U.T. Tyler employees and retirees.
- Scholarships for dependents and spouses at TJC if classes are not offered at UT Tyler (spouses, employees, and dependents subject to out-of-district fees and any special course fees)
- Scholarships for spouses (tuition free) at UT Tyler (spouses subject to all applicable UT Tyler fees).
- Human Resources (903-566-7234) is available to answer questions about UT Tyler benefits.

New employee probationary period. All newly hired classified employees of UT Tyler shall be subject to a probationary period of six continuous months from the beginning date of employment. Probationary employees must be evaluated at 180-days of employment. During this period, the hiring authority is free to terminate the employment of any probationary employee who is judged not to be competent or otherwise qualified to continue employment without said employee being subject to the discipline and dismissal policies and procedures. Prior to termination, the hiring authority should review the facts of the case with Human Resources.

Employee training. Department heads and budget authorities are responsible for ensuring that employees in their departments or budget units receive adequate training. Elements of an effective training program are:

- Identifying staff members who need staff development and assessing the exact kind and scope of training needed;
- Training individuals for current assignments and developing them for future assignments, as a means of improving the quality and quantity of work;
- Providing training so that supervisory personnel are prepared to assume and discharge their primary responsibility for the maximum utilization of personnel, the training of their staff members, and the maintenance of sound employee relations;
- Advising and assisting employees with respect to continuing education and means by which they can increase their effectiveness;
- Evaluating all training and education activities to determine whether they are effective.
- Ensuring that employees in their department complete yearly online training requirements through *The Training Post* online training system.

Employee scholarships. As a career development program, UT Tyler gives scholarships tuition and fees for employees who desire to enroll and take classes at UT Tyler. Scholarships are limited to six credit hours per semester. Scholarships are awarded at the beginning of the semester for UT Tyler courses. A supervisor may allow an employee to spend a portion of an employee's workday in class. The supervisor's decision depends on circumstances in the department (e.g., the ability to cover for an employee while he or she is in class). Circumstances may require that the employee make-up the working time

spent in class. Generally, an employee should not plan to take more than one course during working hours. Employees desiring to take courses at UT Tyler must apply for admissions in Admissions and Student Records.

Employee grievances. Department heads and budget authorities are responsible for handling employee grievances in accordance with UT Tyler’s Grievance Policy. The Grievance Policy is included in the next section of the handbook.

Overtime. Faculty, executive officers, and administrative and professional staff (i.e., exempt employees) are not eligible for overtime pay. Non-exempt employees are eligible for overtime pay. The Fair Labor Standards Act requires UT Tyler to compensate non-exempt employees for hours actually worked in one week over 40 hours at one and one-half times the employee’s normal rate of pay. Paid leave and holidays do not qualify as time actually worked. The department head or budget authority must specifically approve overtime before it is worked.

UT Tyler’s policy is that overtime be compensated with compensatory time off at a mutually convenient time for both the employer and the employee within one year from the week it is earned. Non-exempt employees may not accrue more than 240 hours of compensatory time. Payment for overtime is at the discretion of the department head or budget authority and may be granted when compensatory time is not practical. Employees must be paid for any unused compensatory time when they terminate employment at UT Tyler. Overtime payments are charged to department and budget unit accounts.

Equivalent time. Equivalent time is granted on a straight hour for hour basis when the total number of hours actually worked plus paid leave and holidays exceeds 40 hours in one week. In such cases, exempt employees may be allowed equivalent time off equal to the number of hours in excess of 40. Division heads may approve equivalent time off for exempt employees. Employees are not paid for unused equivalent time when they terminate employment at UT Tyler.

Vacation. With the exception of faculty members and positions that require student status as a condition of employment, all full-time employees (employees who are appointed for at least 20 hours per week for four and one-half months or more) earn vacation entitlement beginning on their first day of employment. The rate of vacation leave accrued depends on an employee’s length of state service as follows:

<u>Employees with Total State Employment of</u>	<u>Hours Accrued per Month for Full-Time Employment</u>
0 but less than 2 years	8
2 but less than 5 years	9
5 but less than 10 years	10
10 but less than 15 years	11
15 but less than 20 years	13

20 but less than 25 years	15
25 but less than 30 years	17
30 but less than 35 years	19
35 or more years	20

Full-time employees who are appointed less than 40 hours per week accrue vacation on a proportionate basis. Vacation with pay may not be taken until an employee has been continuously employed with the State of Texas for six months. Vacation should be taken during the fiscal year in which it accrues. If this is not possible, accrued vacation may be carried forward to the next fiscal year subject to limits provided in the General Appropriations Act as follows:

<u>Employees with Total State Employment of</u>	<u>Maximum Hours to Carry Forward for a Full-time Employee</u>
0 but less than 2 years	180
2 but less than 5 years	244
5 but less than 10 years	268
10 but less than 15 years	292
15 but less than 20 years	340
20 but less than 25 years	388
25 but less than 30 years	436
30 but less than 35 years	484
35 years or more	532

All unused accrued vacation hours in excess of carry-forward limits are credited to an employee's sick leave balance. Unused accrued vacation is paid to employees when they terminate employment with the State of Texas provided the employee has had continuous employment with the State for six months.

Longevity Pay. Full-time classified and administrative/professional (non-faculty) employees who have worked for the University or the state of Texas in excess of two years earn monthly longevity pay in the following amounts:

LONGEVITY PAY: (Admin/Professional and Classified Staff Only)

<u>Years of Service</u>	<u>Per Month</u>	<u>Years of Service</u>	<u>Per Month</u>	<u>Years of Service</u>	<u>Per Month</u>
2	\$20	16	\$160	30	\$300
4	\$40	18	\$180	32	\$320
6	\$60	20	\$200	34	\$340
8	\$80	22	\$220	36	\$360
10	\$100	24	\$240	38	\$380
12	\$120	26	\$260	40	\$400
14	\$140	28	\$280	42	\$420

Sick leave. With the exception of positions that require student status as a condition of employment, all full-time employees (employees who are appointed for at least 20 hours

per week for four and one-half months or more) earn sick leave entitlement beginning on their first day of employment at a rate of eight hours for each month of service for full-time employees and a proportionate amount if employed on less than a full-time basis. Sick leave with pay may be taken for absences necessitated by personal sickness, injury, pregnancy, or when an employee is needed to care for and assist an immediate family member who is ill, or by exposure to a contagious disease requires quarantine or isolation of either the employee or his or her immediate family. An unearned sick leave advanced and taken by an employee shall be deducted from the employee's accrued vacation. If the vacation hours are exhausted, the employee will be placed on leave without pay and the corresponding amount of unearned leave will be deducted from the employee's monthly paycheck. Employees do not receive payment for accrued sick leave when they terminate employment at UT Tyler. However, in the case of the death of an employee who has an accrued sick leave balance, his or her estate will be paid for one-half of the accrued sick leave balance or 336 hours, whichever is less.

Sick leave pool. Human Resources administer a sick leave pool for UT Tyler employees. UT Tyler's sick leave pool policy is included in the next section of the handbook. Lynne Bandy, Benefits Manager (566-7358), and Joe Vorsas, Director of Human Resources (903)566-7294 are the administrators of the sick leave pool.

Time and leave records. Department heads and budget authorities should maintain time and leave records for all non-exempt employees. Vacation, sick leave, compensatory, equivalent, and floating holiday balances should be maintained in the DEFINE administrative system. Copies of UT Tyler's Time and Record Keeping Manual are available in Human Resources.

Performance evaluations. All employees (administrative, faculty, and staff) are to be formally evaluated at least annually. Performance evaluations are to be used for the improvement of performance, promotion consideration, and merit salary review.

Employee discipline and dismissal. Department heads and budget authorities are responsible for disciplining employees in accordance with UT Tyler's Employee Discipline and Dismissal Policy. The Employee Discipline and Dismissal Policy is included in the next section of the handbook.

Holidays. Employees who work during an approved holiday will be allowed equivalent time off during the twelve-month period following the date of the holiday worked.

Leaves of absence without pay. With the interest of UT Tyler being given first consideration and for good cause, leaves of absence without pay may be granted for a period within the term of appointment of a member of any faculty or staff, subject to the general conditions included herein. Leaves of absence for a first year or portion thereof or a second consecutive year's leave may be granted by the President. Leaves of absence for a third consecutive year will be granted only for the reasons outlined in this policy following review and approval by the Vice Chancellor for Academic Affairs. The

maximum period for which a leave of absence will be granted is the end of the fiscal year in which the leave begins. In the case of faculty, the date for return to duty will generally coincide with the beginning of the next semester, following the period of absence.

Except in unusual circumstances, such as military service, reasons of health, continued graduate study, and public service or other activity that reflects credit on the institution and enhances an individual's ability to make subsequent contributions to the institution, a second consecutive year of leave will not be granted.

Except in very unusual circumstances a third consecutive leave of absence for one year will not be granted.

After a return to duty of one year, the leave-of-absence privilege will again be available, subject to the conditions above.

Unless otherwise provided by or authorized pursuant to law, all accumulated paid leave entitlement must be exhausted before a leave of absence without pay may be granted, with the additional provision that sick leave must be exhausted in those cases where the employee is eligible to take sick leave.

Upon expiration of Family and Medical Leave, an employee may be eligible for a leave of absence under this section. For leave of absence to participate in a political campaign, faculty development leave, parental leave, sick leave, leave for jury duty, leave for military duty, and leave related to on-the-job injuries; see other sections of this handbook.

Faculty development leave. Faculty development leaves for faculty members may be granted as set out in Texas Education Code, Section 51.101 et seq. The law provides that after two consecutive academic years at the same institution, a faculty member as defined in this Act may be considered for a faculty development leave for one academic year at one-half his or her regular salary or for one-half academic year at his or her full regular salary. Such leaves shall be granted pursuant to procedures outlined in the Act and to the limitations therein.

Leave for jury duty. Necessary time off for jury duty is allowed without loss of pay or vacation leave.

Leave for military duty. A leave of absence not to exceed fifteen working days in a federal fiscal year (October 1 – September 30) is granted to faculty or staff members who, as members of the National Guard or Official Militia of Texas or members of any of the Reserve Components of the Armed Forces, shall be engaged in authorized training or duty, ordered or authorized by proper authority. During such periods, the employee is absent without loss of efficiency rating, vacation time or salary; and when relieved from military duty, the employee is restored to the position and status he or she previously held.

A leave of absence with full pay shall be provided any employee who is called to active duty with the National Guard by the Governor of Texas. Such leave shall in no way be

charged against the employee's vacation or sick leave privileges. An employee retains any accrued sick or vacation leave and will be credited with those leave balances upon return. However, during such leaves of absence, the employee shall accrue state service credit, but shall not accrue vacation or sick leave.

Family and medical leave. Any eligible employee, whether faculty, classified, or administrative, may request and receive a leave of absence without pay for up to twelve weeks per year for family and medical reasons specified by the Family and Medical Leave Act of 1993. Compensatory time, if applicable, as well as sick leave and vacation leave must be used in conjunction with the twelve-week FMLA period. Eligibility criteria are defined in the Act. In short, an eligible employee must have been employed by the State of Texas for twelve months and must have worked at least 1,250 hours during the twelve-month period immediately preceding the commencement of leave. A qualified purpose for FMLA leave is:

- Birth of a son or daughter and care after such birth (during the child's first year of life);
- Placement with an employee of a son or daughter for adoption or foster care (during the first year following placement);
- Serious health condition of spouse, child, or parent of employee; or
- Serious health condition of employee (unable to perform essential job functions).

Time off to vote. Supervisors are authorized to grant a reasonable period of time off for employees to vote in national, state, and local governmental elections.

Funeral/Emergency leave. Funeral leave shall be granted to full-time employees in the event of the death of an employee's spouse or the employee's or spouse's children, parents, grandparents, grandchildren, brothers, or sisters. Funeral leave for a death may not exceed three days. Emergency leave may be granted by the President or his/her delegate when the employee shows good cause for such leave. Examples of such reasons might include the death of a relative other than those described under the funeral leave provisions. Funeral or emergency leave may, with the approval of the President or his/her designee, may be granted for periods in excess of three days. Requests for leave in excess of three days must be fully documented.

Personnel records. UT Tyler Human Resources maintains a personnel file for each employee. An employee's personnel file must contain the following documents: appointment letters, performance evaluations, disciplinary actions, counseling documentation, commendations, retirement documents, tax-sheltered annuity documents, group insurance and flexible spending account documents, employment application, resume, and grievances filed by the employee with responsive documentation. The Texas Public Information Act provides that information in the personnel file is subject to public disclosure without the consent of the employee except when the disclosure of such information would constitute a clearly unwarranted invasion of personal privacy. An

employee who desires to review his or her personnel file may arrange to do so with a representative of Human Resources.

Mid-year salary increases. Mid-year salary increases must be approved by the appropriate division head (i.e., the President, Vice President for Academic Affairs, Vice President for Business Affairs, or Vice President for Student Affairs). Mid-year salary increases must be funded within existing budgets. No employee shall receive a salary increase more frequently than every six months unless the salary increase is associated with a promotion. After receiving division head approval, all mid-year salary increases must be approved by the President. All salary increases involving tenured faculty and administrative and professional personnel reporting directly to a division head (i.e., the President, Vice President for Academic Affairs, Vice President for Business Affairs, or Vice President for Student Affairs) must be approved by the President, UT System Administration, and the Board of Regents. Requests for salary increases must be accompanied by a memorandum stating the employee's job performance is consistently above that normally expected or required.

Merit Increases. A merit increase is defined as an increase in salary granted in recognition of meritorious performance over a sustained period of time. Merit pool money is subject to availability of funds as determined by the President and Vice President for Business Affairs. Guidelines for fiscal year merit increases will be determined at the time of annual budget preparation or as soon as possible after the beginning of the fiscal year. An employee may not receive a merit increase during the initial probationary period or within six months of a previous merit increase.

Promotions. A UT Tyler employee is eligible to apply for a job opening outside his or her current division provided current employment has been for a minimum of six months. An employee may apply for a position considered to be a promotion within their division during the six-month probationary period.

Sexual harassment and misconduct. Sexual misconduct and sexual harassment are unprofessional behaviors and employees who engage in such conduct will be subject to disciplinary action, including termination. Examples of behavior that could be considered sexual misconduct or sexual harassment include but are not limited to:

- Physical contact of a sexual nature including touching, patting, hugging, or brushing against a person's body;
- Explicit or implicit propositions or offers to engage in sexual activity;
- Comments of a sexual nature including sexually explicit statements, questions, jokes or anecdotes; remarks of a sexual nature about a person's clothing or body; remarks about sexual activity; speculation about sexual experience;
- Exposure to sexually oriented graffiti, pictures, posters, or materials;
- Physical interference with or restriction of an individual's movement.

Outside employment. Members of the faculty or staff of UT Tyler should not be discouraged from accepting appointments of a consultative or advisory capacity with governmental agencies, industry, or other educational institutions. The consideration to UT Tyler of such activity is the improvement of the individual by virtue of his or her continuing contact with nonacademic problems in the nonacademic world.

Members of the faculty or staff should be discouraged from accepting regular employment with units outside the UT System because this action would be divisive of loyalties and does not provide the return to UT Tyler or UT System.

Conflict of interest should be avoided in all instances of outside employment, but conflict of interest in an academic institution means outside activity that intrudes upon the academic functions of teaching, scholarly activities, and service to the institution.

Even in the case of members of the staff specifically engaged only in residence work, there exists an obligation, usually intermittent, to furnish expert knowledge and counsel for public benefit free of charge, provided that the meeting of this obligation by a faculty or staff member does not interfere with his or her regular duties, and provided further that in meeting this obligation a faculty or staff member on full-time duty shall avoid undue competition with legitimate private agencies.

No member of the faculty or staff engaged in outside remunerative activities shall use in connection therewith the official stationery of UT Tyler, or give as a business address any building or department of the institution.

No member of the faculty or staff shall accept employment or any position of responsibility if the discharge of such employment or responsibility will be antagonistic to the interests of the State of Texas, UT System, or UT Tyler.

Every member of the faculty or staff who gives professional opinions must protect UT Tyler against the use of such opinions for advertising purposes. If the employee does work in a private capacity, the employee must make it clear to those who employ him or her that the work is unofficial and that the name of UT Tyler is not in any way to be connected with the employee's name, except when used to identify the employee as the author of work related to the employee's academic or research area.

No member of the faculty or staff shall accept pay from private persons or corporations for tests, essays, chemical analyses, bacteriological examinations, or other such work of a routine character, which involve the use of property owned by UT Tyler, unless advance permission has been obtained from the President and provision has been made for compensation to UT Tyler.

No member of the full-time staff of UT Tyler on a twelve-month or nine-month basis shall be employed in any outside work or activity or receive from an outside source a

regular retainer fee or salary until a description of the nature and extent of the employment has been filed with and approved by the President.

A member of the faculty or staff may hold other non-elective offices or positions of honor, trust, or profit with the State of Texas or the United States if holding the other offices or positions is of benefit to the State of Texas or is required by state or federal law, and if there is no conflict between holding the office or position and holding the original office or position for which the member of the faculty or staff receives salary or compensation.

Before a member of the faculty or staff may accept an offer to serve in other non-elective offices or positions of honor, trust, or profit with the State of Texas or the United States, the member of the faculty or staff must obtain from the President and the Board a finding via the docket that the requirements of this policy have been fulfilled, including the expected additional compensation to be received from such service.

The President must keep a record of compensation received from additional state or federal employment, or both, including specifically: salary, bonuses, and per diem or other type of compensation. Faculty and staff are required to provide this information to the President as the compensation is earned.

Dual employment and consulting. UT Tyler will not pay for consulting, lecturing, or other professional services by UT Tyler employees, except in cases where unusual circumstances justify such payments as determined by the President. Payments to a UT Tyler employee by another UT System institution must be approved by the Presidents of both institutions. Consulting provided by UT Tyler employees to entities other than UT Tyler or another UT System institution must be approved by the appropriate division head (i.e., the President, Vice President for Academic Affairs, Vice President for Business Affairs, or Vice President for Student Services). Outside consulting must not involve a conflict of interest or be in conflict with an employee's obligation to UT Tyler or its objectives. The Board of Regents must approve dual employment of UT Tyler personnel with another UT System institution or with another State or Federal agency.

Nepotism. No officer, official or employee of UT Tyler may approve, recommend, or otherwise act with regard to the appointment, reappointment, promotion, or salary of any person related to such officer, official, or employee within the second degree by affinity or the third degree by consanguinity regardless of the source of funds for payment of salary.

If the appointment, reappointment, or promotion of a person places him or her under an administrative supervisor related within the above specified degree, all subsequent actions with regard to reappointment, promotion, or salary shall be the responsibility of the next highest administrative supervisor. It shall also be the responsibility of the next highest administrator to make a written review of the work performance of such employee at least annually and submit each review for approval or disapproval by the

institution's Director of Human Resources in the case of classified employees or the chief administrative officer in the case of faculty or non-classified employees.

If the appointment, reappointment, or promotion of a person places him or her in an administrative or supervisory position with responsibility to approve, recommend or otherwise act with regard to the appointment, promotion, or salary of a person who is related to them within the degree prohibited by the Texas Government Code, all subsequent actions regarding the reappointment, promotion, or salary of such person shall be made by the next highest administrator or supervisor at UT Tyler.

It shall be the responsibility of the administrator or supervisor to make a written review of the work performance of such person at least annually and to submit such review to the next highest administrator or supervisor at UT Tyler.

These provisions shall apply to situations where two employees of the System marry and one spouse is the administrative supervisor of the other. All situations covered by this policy shall be reported annually with the annual operating budget.

Employee separation. Employees terminating employment at UT Tyler must complete an Employee Separation Form (available in Human Resources); the form must be signed by the employee and his or her supervisor and returned to Human Resources.

Employee assistance program. UT Tyler contracts with an external employee assistance program (UT Employee Assistance Program – UEAP) to provide a point of first contact for discussion and assessment of a potential employee problem such as job stress, emotional problems, substance abuse, etc. The employee assistance program provides short term counseling and referral to outside resources when appropriate. It is *not* a treatment or rehabilitation facility. Costs associated with the employee assistance program are provided by UT Tyler. Costs incurred for services obtained from outside referral resources are the responsibility of the employee.

Policies of the employee assistance program are as follows:

- The program is available to all benefits-eligible faculty, staff and employees of UT Tyler no matter what their job title or responsibilities.
- The program is also available to dependents and families on a self-referral basis.
- Participation in the program does not jeopardize an employee's job security, promotional opportunities, or reputation.
- To the extent permitted by law, all records and discussions of personal problems are handled in a confidential manner. These records are kept by the external program personnel and do not become a part of the records kept by UT Tyler's personnel office.

- Employees may be referred to the program by supervisors to determine if personal problems are causing unsatisfactory job performance.
- All levels of management are encouraged to use the program, when appropriate, to assist in resolving job performance problems.
- Sick leave may be granted for treatment or rehabilitation on the same basis as for other health problems. Consideration is also to be given for the use of annual leave or leave without pay if sick leave is not available.

Employees may call UTEAP at (800) 346-3589. More information about UT Tyler's employee assistance program is available in Human Resources.

Political activities. The Regents' *Rules and Regulations*, state law, and the Appropriations Bill prohibit the use of state time and equipment for political activities. In addition, UT Tyler personnel are not allowed to support or oppose (written or oral) legislation as UT Tyler employees. Employees who are asked to provide information to legislative officials should coordinate their responses with the President and UT System's Office of Governmental Relations.

Alcoholic beverages. The use of alcoholic beverages is prohibited on property and in buildings and facilities owned or controlled by UT Tyler. However, the President may waive this prohibition with respect to any event sponsored by UT Tyler. An event is sponsored if a budgeted office, department, or division of UT Tyler is responsible for organizing the event, inviting attendees, and paying expenses related to the event, including the purchase of food and beverages. Meetings or events organized and presented by registered faculty, staff, or student organizations are not events sponsored by UT Tyler. This policy does not apply to areas that are licensed under state law for the sale and service of alcoholic beverages, to special use facilities in the Cowan Center during use by a non-institutional individual, group, association, or corporation, or to property, buildings, or facilities that are occupied by a third party pursuant to a written lease or occupancy agreement that does not specifically exclude alcoholic beverages. State law relating to alcoholic beverages will be strictly enforced at all times on property and in buildings and facilities owned or controlled by UT Tyler.

Policies and Procedures for the Discipline and Dismissal of Classified Employees

1. Policy and Purpose.

It is the policy of The University of Texas at Tyler to encourage fair and efficient processes to resolve disputes arising out of the employment relationship and to meet the requirements of State and federal law.

The purpose of this policy is to provide a procedure for the discipline and dismissal of classified employees who are subject to its provisions. Classified

employees are at-will employees who serve without tenure. No provision of the policy and procedures that follows shall confer rights to employees that are contrary to the employment-at-will doctrine.

2. Applicability.

These policies and procedures are applicable to conduct or job performance of a classified employee that results in a decision to impose a disciplinary penalty of demotion, suspension without pay, or dismissal. It does not apply to:

- 2.1 Institutional police or faculty who are subject to other approved discipline or dismissal procedures;
- 2.2 Suspension with pay pending investigation of allegations relating to an employee;
- 2.3 Decisions not to offer reappointment to persons whose appointment for a stated period of one year or less expires at the end of such period without the necessity of notice of non-renewal as provided in the Regents' Rules and Regulations or the policies of The University of Texas at Tyler;
- 2.4 Administrative and professional employees who are appointed to positions without fixed term and serve at the pleasure of a specific administrative officer;
- 2.5 Persons who are employed in positions that require student status as a condition of employment; or
- 2.6 Dismissal of employees:
 - (a) who occupy positions that are dependent upon funding from a specific source and such funding is not received,
 - (b) as a result of a reduction in force,
 - (c) due to financial exigency,
 - (d) during any probationary period of employment,
 - (e) who are appointed for a stated period that is less than 180 days,
 - (f) who are appointed at a per diem or hourly rate and work on an as needed basis, or
 - (g) who have not attained or maintained the necessary clearance, certification or licensure for their position, or
 - (h) who have exhausted applicable leave entitlements.

3. Discipline and Dismissal Policy and Procedures.

3.1 Employee Standard of Conduct.

Each employee is expected to become familiar with the performance criteria for his or her particular job and with all rules, procedures, and standards of conduct established by the Board of Regents, The University of Texas at Tyler, and the employee's department or unit. An employee who does not fulfill the responsibilities set out by such performance criteria, rules, procedures, and standards of conduct may be subject to adverse personnel action

3.2 Conduct Subject to Disciplinary Action.

- (a) Work Performance.

Work performance is to be judged by the supervisor's evaluation of the quality and quantity of work performed by each employee. Failure of an employee to maintain satisfactory work performance standards or to meet a reasonable and objective measure of efficiency and productivity may constitute grounds for disciplinary action including dismissal.

(b) Unacceptable Conduct.

All employees are expected to maintain standards of conduct suitable and acceptable to the work environment. Disciplinary action, including dismissal, may be imposed for unacceptable conduct. Examples of unacceptable conduct include, but are not limited to:

- (1) falsification of time sheets, personnel records, or other institutional records;
- (2) neglect of duties;
- (3) smoking anywhere except in designated smoking areas;
- (4) gambling or participating in lotteries or any other games of chance on the premises at any time;
- (5) soliciting or collecting money or circulating petitions on the premises other than within the rules and regulations of the institution;
- (6) bringing intoxicants or drugs onto the premises of the institution, using intoxicants or drugs on the premises at any time, having intoxicants or drugs in one's possession on the premises at any time, or being under the influence of intoxicants or drugs on the premises at any time;
- (7) abuse or waste of tools, equipment, fixtures, property, supplies, or goods of the institution;
- (8) creating or contributing to unhealthy or unsanitary conditions;
- (9) violation of safety rules or accepted safety practices;
- (10) failure to cooperate with supervisor or co-worker, impairment of function of work unit, or disruptive conduct;
- (11) disorderly conduct, harassment of other employees (including sexual harassment), or use of abusive language on the premises;
- (12) fighting, encouraging a fight, or threatening, attempting or causing injury to another person on the premises;
- (13) theft, dishonesty, or unauthorized use of institutional property, including records and confidential information;
- (14) creating a condition hazardous to another person on the premises;
- (15) destroying or defacing institutional property or records or the property of a student or employee;

- (16) refusal of an employee to follow instructions or to perform designated work that may be required of an employee, or refusal to adhere to established rules and regulations; or
- (17) repeated tardiness or absence, absence without proper notification to the supervisor, or absence without satisfactory reason or unavailability for work.

3.3 Discipline Procedures.

The following procedures will be followed when an employee who is subject to this policy is demoted for disciplinary reasons, suspended without pay, or dismissed.

- (a) The supervisor will review the evidence and the proposed disciplinary action with the chief human resources officer or his or her designee.
- (b) Once the supervisor has sought and obtained the concurrence of the chief human resources officer or his or her designee, he or she must then obtain the concurrence of the department head or administrative equivalent to whom he or she reports before proceeding with the proposed disciplinary action.
- (c) The supervisor shall inform the employee in writing of the reasons for the proposed disciplinary action and the facts upon which the supervisor relies. The employee shall be provided with an opportunity to respond to the charges either verbally or in writing within a reasonable time not to exceed two (2) working days and to persuade the supervisor that the grounds for the disciplinary action are mistaken or incorrect before a final decision is made to take disciplinary action. This pre-disciplinary notification serves as an opportunity to avoid mistaken decisions to impose discipline and is not intended to definitively resolve the propriety of the disciplinary action being considered.
- (d) If the supervisor is not persuaded by the employee's response that the decision to take disciplinary is incorrect or mistaken, the supervisor will proceed to impose the disciplinary action. The supervisor shall inform the employee in writing of the following:
 - (1) whether the disciplinary action is a demotion, suspension without pay or dismissal and its effective date;
 - (2) a specific period for a suspension without pay, not to exceed one (1) month;
 - (3) the specific incident, conduct, course of conduct, unsatisfactory work performance, or other basis for the disciplinary action;
 - (4) any previous efforts to make the employee aware of the need to change or improve work performance or conduct;
 - (5) reference to any relevant rule, regulation, or policy.

3.4 Effect Upon Employee Benefits.

An employee who is demoted or suspended without pay continues to accrue vacation and sick leave, to be covered by group insurance, and to

be entitled to other employee benefit programs. If a demotion or suspension without pay is appealed and the appeal of the demotion or suspension is successful, the employee shall be entitled to payment for wages lost as a result of the demotion or suspension. If an appeal of dismissal is successful, the employee shall be reinstated to the same or similar position and shall be entitled to payment of back wages less any unemployment compensation insurance benefits received by the employee after the date of dismissal. Employee benefits such as vacation and sick leave shall be credited back to the date of dismissal.

4. Procedure for Appeal.

Disciplinary actions resulting in dismissal, suspension without pay, or demotion may be appealed by the affected employee pursuant to the process set out below by submitting a written request for a hearing to the vice president or administrative equivalent for the employee's department. The request must be made within ten (10) working days following the date of the disciplinary action. The failure of the employee to submit the appeal in a timely manner shall constitute a withdrawal of the appeal. The vice president or administrative equivalent shall, at his or her discretion, either hear the appeal in person or appoint a delegate(s) to hear the appeal. The hearing shall be conducted as soon as practical pursuant to the following procedures.

4.1 Naming of Delegate.

If the vice president or administrative equivalent elects to appoint a delegate(s) to hear the appeal, the name or names will be furnished to the employee as soon as practical after the selection is made. If more than one person is appointed, one of them shall be designated in the notice to the employee to serve as chair.

4.2 Challenges as to Fairness.

An employee may challenge the fairness and impartiality of the vice president or administrative equivalent or an appointed delegate(s). The challenge must be in writing and must clearly state the factual basis for the challenge. A challenge of the vice president or administrative equivalent must be made within five (5) days of the date of the request for a hearing and a challenge of a delegate(s) must be made within five (5) days after the date of the notice appointing the delegate(s). It shall be up to the person challenged to determine whether he or she can serve with fairness and impartiality. If the challenged vice president or administrative equivalent determines that he or she cannot be fair and impartial in the consideration of the appeal, he or she shall appoint a delegate(s) to hear the appeal. If a challenged delegate(s) determines that he or she cannot be fair and impartial in the consideration of the appeal, the vice president or administrative equivalent shall appoint another delegate(s).

4.3 Exchange of Information.

At least five (5) working days prior to the time set for the hearing, the institutional representative for the appeal and the employee shall furnish

each other with the names of the witnesses to be called, a summary of their expected testimony, and a copy of each document, record or exhibit to be introduced at the hearing.

4.4 Chair.

The vice president or administrative equivalent or the delegate designated as chair shall preside at the hearing and ensure the order of presentation as well as decide on questions of relevancy. The chair shall also have the discretion to determine the length of the hearing and the form and scope of cross-examination allowed during the hearing. Upon request, the chair may consult with and be advised by counsel during the hearing.

4.5 Right to Representation.

The employee has the right to be represented at the hearing by an attorney or other individual representative. If the employee is represented by an attorney or an individual from an employee organization, the institution may be represented by an attorney from the institution or the Office of General Counsel of The University of Texas System Administration.

4.6 Record of the Hearing.

In all appeal hearings, the institution shall make a tape recording of the hearing and make a copy of the tape available to the employee on request. The tape recording of the proceedings shall be the official record of the hearing.

4.7 Burden of Proof.

The institution shall demonstrate by the greater weight of the credible evidence that the disciplinary action should be sustained. The institution shall present its case first after which the employee shall present his or her case.

4.8 Evidence.

The hearing shall consist of testimony by witnesses called by the institution and the employee, with both parties having the right to cross-examine witnesses. Relevant exhibits may be introduced by either party and the chair shall take notice of the employee's personnel record.

4.9 Witnesses.

Any employee may be asked to appear as a witness for either party. It shall be the duty of an employee requested to testify to do so as to any facts which may be relevant to the appeal. It is the responsibility of each party to assure attendance by its witnesses.

4.10 Notification to Vice President.

The delegate(s) shall deliberate, prepare, and forward written findings and recommendations to the vice president or administrative equivalent within ten (10) working days after the close of the hearing.

4.11 Employee Notification.

The vice president or administrative equivalent shall mail his or her decision to the employee within ten (10) working days following the receipt of the findings and recommendations from the delegate(s).

If the vice president or administrative equivalent has heard the appeal, he or she shall mail a written decision to the employee within ten (10) working days after the close of the hearing.

The decision of the vice-president or administrative equivalent is final.

5. Records of Disciplinary Actions.

Copies of all documents pertaining to disciplinary actions shall be filed in the employee's personnel file.

Grievance Policy and Procedures

I. Purpose

It is the policy of UT Tyler to encourage fair, efficient and equitable solutions for problems arising out of the employment relationship and to meet the requirements of state and federal law.

II. Scope of Grievance Policy Complaints concerning wages, hours of work, working conditions, performance evaluations, merit raises, job assignments, reprimands, the interpretation or application of a rule, regulation or policy, unlawful discrimination on any basis, or allegations that the termination of a probationary or temporary employee or an hourly or per diem employee who works on an as needed basis was for an unlawfully discriminatory reason shall not be processed through the Discipline and Dismissal Appeal Procedure. Such complaints will be considered on an informal basis in order to allow prompt correction or explanation of the subject of the complaint.

Probationary, Temporary, Hourly, and Per Diem Employees Included

The complaint of all employees including probationary and temporary employees and those hourly or per diem employees who work on an as needed basis will be considered pursuant to the procedure provided below.

Retaliation Prohibited

No employee will be penalized, disciplined or prejudiced for exercising the right to make a complaint or for aiding another employee in the presentation of that complaint.

III. Procedure for Bringing a Grievance

The employee shall informally present the complaint to his or her supervisor or administrative equivalent for discussion, consideration and resolution within five (5) working days from the date of the action that is subject of the complaint. If the supervisor is the subject of the complaint, the employee may address the complaint to the appropriate department head or administrative equivalent.

If the complaint is not satisfactorily resolved by the supervisor or administrative equivalent within five (5) working days, the employee may present the complaint in writing to the appropriate department head or administrative equivalent for consideration and action. A written decision will be mailed to the employee within five (5) working days of receipt of the complaint.

If the employee is not satisfied with the decision of the department head or administrative equivalent, a written appeal stating why the appealed decision is

incorrect may be made to the appropriate dean, director or administrative equivalent within five (5) working days of the date of the appealed decision. Within ten (10) working days of the date of the appeal, a written decision will be mailed to the employee.

Complaints not satisfactorily resolved by the dean, director or administrative equivalent may be appealed in writing to the appropriate Vice President or administrative equivalent for the employee's department within five (5) working days of the date of the appealed decision. The appeal shall state why the appealed decision is not correct. Within a reasonable time, not to exceed thirty (30) days following receipt of the appeal, a written decision shall be mailed to the employee. This decision is final.

The written complaint and all decisions or responses regarding such complaint shall be a part of the personnel file of the employee.

Sick Leave Pool Policy

PURPOSE. UT Tyler shall establish a sick leave pool to provide a source of additional sick leave for those employees who have exhausted accrued annual leave and sick leave because of a catastrophic illness or injury.

DEFINITIONS. As used in this Policy:

2.1 "Catastrophic illness or injury" means a severe condition or combination of conditions affecting the mental or physical health of an employee or the employee's immediate family that requires the services of a licensed physician for a prolonged period of time and that requires the employee to exhaust accrued leave and to lose compensation from the State.

2.2 "Employee" means a regular employee of an institution of the UT System or the UT System Administration as defined in Article V of the General Appropriations Act.

2.3 "Immediate family" means those persons living in the same household with the employee who are either related to the employee by kinship, adoption, or marriage or are certified by the Texas Department of Human Services as foster children of the employee or, if not living in the same household, are totally dependent upon the employee for personal care or services on a continuing basis.

2.4 "Licensed physician" means a person who is licensed to practice in one of the health professions set forth in Article 3.70-2 of the *Texas Insurance Code*.

2.5 "Pool administrator" means the person appointed to administer the sick leave pool.

2.6 "Sick leave pool" or "pool" means the accumulated sick leave donated by employees for utilization in accordance with this Policy.

POOL ADMINISTRATOR. This Policy shall be administered at each institution by a pool administrator designated by the chief administrative officer and at the UT System Administration by a pool administrator designed by the Chancellor of the UT System.

3.1 The pool administrator shall adopt forms and regulations appropriate for the administration of this policy.

The decision of the pool administrator regarding contributions to and withdrawals from the pool shall be final.

SICK LEAVE POOL. The sick leave pool at each institution and the UT System Administration shall consist of the sick leave voluntarily contributed to the pool by employees.

4.1 An employee who desires to contribute sick leave to the pool must submit an application to the pool administrator.

4.2 Contributions to the pool must be in units of eight (8) hours. State employees are permitted to contribute an unlimited number of hours to the sick leave pool. Retiring employees are also permitted to contribute to the sick leave pool.

4.3 Upon approval of an application, the pool administrator shall credit the sick leave pool with the sick leave contributed by an employee and shall direct the human resources office to deduct a corresponding amount from that employee's accrued sick leave.

4.4 Sick leave contributed to the pool may not be designated for the use of a particular person.

4.5 Although contributions are voluntary, employees who leave state employment should be encouraged to contribute to the pool.

WITHDRAWAL OF SICK LEAVE FROM THE POOL.

Applications to withdraw sick leave from the pool must be submitted on the form prescribed by the pool administrator. An application must be filed with the pool administrator and must be accompanied by a statement from the licensed physician who treated the illness or injury that resulted in the exhaustion of the accrued annual leave and sick leave of the employee making the application. The pool administrator will consider applications in the order in which they are received and will approve or deny an application within ten (10) working days after receipt.

5.1 An employee is eligible to withdraw sick leave from the pool if the pool administrator finds that the employee has exhausted all accrued annual leave and sick leave because of a catastrophic illness or injury or because of a previous donation of sick leave to the pool.

5.2 In determining the amount of sick leave to be assigned by an eligible employee from the pool, the pool administrator shall take into consideration the

information contained in the employee's application, the number of applications then pending, and the amount of sick leave available in the pool. In no event shall the sick leave allocated to an eligible employee from the pool exceed ninety (90) days or one-third (1/3) of the sick leave pool balance, whichever is less. Upon approval of an employee's application, the pool administrator shall notify the human resources office of the amount of sick leave to be assigned to the employee.

5.3 The employee may use sick leave assigned from the pool in the same manner as sick leave accrued pursuant to the *General Appropriations Act* and shall be treated in the same manner and shall be entitled to accrue the same benefits as an employee who uses such accrued sick leave.

5.4 The estate of a deceased employee shall not be entitled to payment for unused sick leave assigned from the pool.

Information Security Management

Information Security Office Website:

<http://www.uttyler.edu/iso>

Please feel free to send any questions or concerns to security@uttyler.edu

Use and Protection of Information Resources

Authority:

- Family Educational Rights and Privacy Act (FERPA)
 - <http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>
- Texas Administrative Code 202
 - [http://info.sos.state.tx.us/pls/pub/readtac\\$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=202](http://info.sos.state.tx.us/pls/pub/readtac$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=202)
- UT System Policy 165 (UTS 165)
 - <http://www.utsystem.edu/policy/policies/uts165.html>
- University of Texas at Tyler Acceptable Use Policy
 - <http://www.uttyler.edu/ISO/policy/AUP.pdf>

Summary:

The laws and policies listed above govern the use and protection of Information Resources. As a part of the procedure, each new employee of UT Tyler is required to read and acknowledge their compliance with the *Employee Non-Disclosure Statement and the UT Tyler Acceptable Use Policy*. New employees are required to sign a copy of these policies in Human Resources. These policies are available from the Information Security website: <http://www.uttyler.edu/iso/policies.php>

Confidentiality of passwords

Authority:

- UT System Policy 165 (UTS 165)
 - User Accessing UT System Information Resources
 - Does not share passwords or similar information or devices used for identification and authorization purposes.
- Texas Administrative Code 202.25
 - Manage access to information resources to ensure authorized use.
 - Each user of information resources shall be assigned a unique identifier
- UT Tyler Acceptable Use Policy
 - In order to preserve the security of UT Tyler’s information resources and Data, every UT Tyler computer/network account, password, any personal identification number (PIN), digital certificate, security token (i.e. Smartcard), or any other similar information or device used for identification and authorization purposes **must not be shared**. Each user of UT Tyler resources is responsible for all activities conducted using his or her account(s).

Summary:

Access to Information Resources is given to each user based upon approval from the data owners of those resources and it is a violation of the laws and policies listed above to share those credentials with others since doing so may result in unauthorized access to confidential sensitive information. Sharing credential could include verbally disclosing passwords or writing them down or documenting them in a place that is accessible to others.

Protection of Information Resources

Authority:

- Texas Administrative Code Section 202.21
 - The protection of information resources is a **management responsibility**. If a department or budget unit “owns” data (see “owner” definition below) that is confidential, sensitive, or essential to critical UT Tyler functions, the **department head** or **budget authority** is responsible for protecting the data from accidental or unauthorized disclosure, modification, or destruction. Furthermore, the **department head** or **budget authority** is responsible for the confidentiality, integrity, and availability of the data.
 - Definitions:
 - Owner: The person responsible for the function that uses the data. The data owner is responsible for approving access to the data, assigning custody of the data and specify controls, determine asset’s value, ensure that controls are in place to ensure the confidentiality, integrity, and availability of the asset, reviewing access, perform risk assessments on the resource
 - Custodian: The person/department responsible for implementing the information owner-defined controls and access to an information resource. The custodian is responsible for implementing the controls

specified by the owner, providing physical, technical, and procedural safeguards for the information resource, assisting the data owner in evaluating the cost-effectiveness of controls and monitoring, and implementing monitoring techniques and procedures for detecting, reporting, and investigating incidents.

Summary:

If a department head or budget authority has questions about information asset security, they should contact UT Tyler's Information Security Officer at security@uttyler.edu for clarification.

Protection of Social Security Numbers

Authority:

- UT System Policy 165 (UTS 165)

Summary:

The University of Texas at Tyler makes every effort to protect the confidential nature of sensitive information by reducing the collection of, restricting access to, and controlling disclosure of social security numbers.

Social Security numbers should not be stored on computers/laptops unless the device is encrypted. Social security numbers should not be transmitted via email or stored on web servers or cloud computing services such as Drop Box. Social security numbers should not be stored on portable storage devices such as thumb or external hard drives.

Specific information such as Mandatory and Voluntary disclosure notices, form approval, and rules of conduct with respect to the protection of social security numbers can be found at: <http://www.uttyler.edu/iso/ssn.php>

Encryption of mobile devices

Authority:

- UT System Information Security Practice Bulletin #1
 - <http://www.utsystem.edu/ciso/documents/SPB1.pdf>

Summary:

The UT System bulletin requires encryption on all University owned laptops which contain confidential or sensitive information to prevent unauthorized access to the data. Because of the dynamic nature of the contents of laptops, UT Tyler's policy requires all laptops to be encrypted unless the budget authority formally accepts the risk of an unencrypted mobile device by filling out an exception form.

More information about laptop encryption can be found by going to:

<http://www.uttyler.edu/iso/laptopencryption.php>

Laptop exception forms can be downloaded by going to:

<http://www.uttyler.edu/ISO/policy/laptopexception.pdf>

Questions about laptops can be sent to UT Tyler's Information Security Officer at security@uttyler.edu.

Workstation Security

Authority:

Summary:

To ensure that all computers/laptops are configured in a secure, consistent and standardized manner, all computers/laptops should be configured by the Help Desk. Anti-virus software and operating system updates and patches are required to be up to date on all computers/laptops and the program should be configured to check for new virus definitions on a daily basis. Users should not take any action to remove or disable anti-virus software, change or disable firewall settings, or tamper with any security software installed by the Help Desk.

Disposal Policy:

Authority:

- Texas Administrative Code 202
- UT System Policy 165
- UT Tyler Computer Redistribution Policy
 - <http://www.uttyler.edu/ISO/policy/ComputerRedistributionPolicyandProcedures.pdf>

Summary:

To prevent unauthorized access to confidential/sensitive data all computers which are transferred within the same department, transferred to another department, or transferred outside the University must be wiped to remove all data.

Payment Card Industry Security:

Authority:

- Payment Card Industry Data Security Standard
 - https://www.pcisecuritystandards.org/security_standards/index.php

Summary:

Credit card numbers are confidential in nature. If your department collects credit card numbers from customers, they must be protected and destroyed once processing has occurred. Do not store retain credit card numbers in hard copy or electronic format. Do not disclose credit card data to anyone.

Credit card numbers should not be requested via or transmitted via email.

General Security Information:

- UT Tyler Information Security or Information Technology staff will **never** ask you for your password, so please delete any email messages which ask for this information
- When you leave your computer, even for a short period of time, please lock it by clicking CTRL+ALT+DELETE and choosing “Lock Computer”
- Confidential/sensitive information includes the following:
 - Social Security Numbers
 - Credit Card Numbers
 - Driver’s license numbers
 - Student grade information

- Student class schedules
- Use caution when leaving hard copy or electronic documents, which contain any of the information above, in clear sight for others to view; Be sure to “clear your desk” when you leave for the day

Information Technology Management

Computer Software. Unauthorized duplication of copyrighted software is a violation of federal copyright law. Furthermore, it is illegal to install licensed software on more than one computer unless the license expressly provides for more than one installation. Department heads and budget authorities are responsible for monitoring computers in their custody to ensure that all installed software is properly licensed. If unauthorized software has been installed on a computer, it should be uninstalled immediately. Appropriate disciplinary action should be taken against a person who installs unauthorized software.

Email. The University uses Microsoft Exchange for its email. The maximum size of a mailbox is currently set to 2 Gigabytes (GB). A warning will appear if one’s email storage exceeds 1.9 GB MB. Email will continue to be received and sent to an employee’s email file UNTIL the size of the file reaches 2 GB. At that time, an employee will not be able to receive email until the file size is reduced below 2 GB by deleting existing, unnecessary email.

It should be noted that email is subject to open records requests and retention of email is determined by departmental or University policy for records retention. The department of Information Technology does not establish records retention policy. The University of Texas at Tyler Records Retention Schedule can be found at the following URL:

<http://www.uttyler.edu/businessaffairs/documents/retentionschedule.pdf>

The University’s email policy can be found at the following URL:

http://www.uttyler.edu/it/Policies_Procedures.html

Network Connection. Networks and Operations (NetOps) is the entity that is responsible for the campus network and as such, is to be notified prior to connecting any networkable device to the campus wired network. This includes servers, switches, modems, routers, or wireless access points, etc. This is to insure that the proper security is in place on all information technology equipment. The UT Tyler Network Connection Policy can be found at: http://www.uttyler.edu/it/Policies_Procedures.html

Networks and Operations can be contacted via netops@uttyler.edu

Systems Maintenance. In order to balance the need for our network and central IT systems to be up to date with that of the business continuity of the campus, NetOps has implemented a maintenance schedule that reduces the impact on University business.

There are two separate types of maintenance windows - one for Microsoft Windows Server updates and another for all other maintenance.

Windows Patching - second Thursday of every month - 11pm - 3am

All Windows servers will usually need to go through 1 - 3 reboots during this period. As a result, the campus should expect sporadic availability of all IT systems during this 4-hour period.

Major Maintenance - third Thursday of the month - 9pm - 6am

The second maintenance window type will be for network changes, major server upgrades, software upgrades, storage infrastructure maintenance, and all other major changes which require NetOps staff to be on campus for implementation. This type of maintenance will occur on the third Thursday of the month between 9pm and 6am.

We **WILL NOT** schedule this type of maintenance in August, December, and January in order to avoid any potential impact on the beginning of a new semester. Depending upon the scope of work to be done, expect most IT systems to be sporadically unavailable during this period.

Finally, there may be other days/times where it is necessary to perform emergency maintenance in order to prevent extensive outages, perform immediate patching due to a significant security risk, or as required by outside vendors and service providers. NetOps will strive to inform the campus of these unplanned interruptions as early as possible.

Appendix: Forms

Environmental Health and Safety Forms:

<http://www.uttyler.edu/safety/forms.html>

Financial Services Forms:

<http://www.uttyler.edu/finserv/forms.php>

Human Resources Forms:

<http://www.uttyler.edu/ohr/forms.htm>