

# **MANAGEMENT RESPONSIBILITIES HANDBOOK**

**FOR**

**DEPARTMENT HEADS AND BUDGET AUTHORITIES**



**PUBLISHED BY  
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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 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.

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

<http://www.uttyler.edu/compliance/documents/UTTylerStandardsOfConductGuide092007.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.

### ***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.

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 person who reconciles and the department heads and/or budget authorities should sign and date account reconciliations to evidence their review and approval.

*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 Assistant 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 January of each fiscal year. Budget Authorities are required to complete the following documents to initiate the annual budget process:

- Request for Budget Increase
- Request for Capital Budget Request
- Define Budget Document Load (BDL)

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

The completed Request for Budget Increase, Capital Budget Request and Define document 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/>

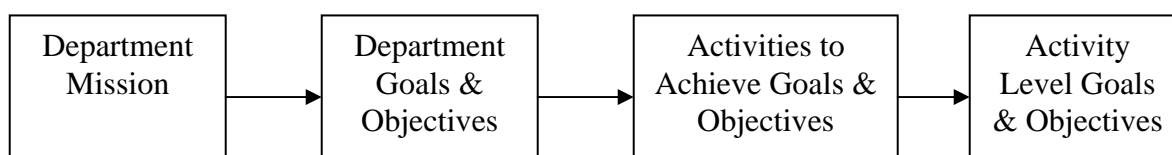
## ***Effective Operations***

*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 that are unique to the department and procedures to implement institutional policies and procedures.

*Institutional effectiveness.* The Southern Association of Colleges and Schools requires member institutions to document quality and effectiveness by employing a comprehensive system of planning and evaluation in all major aspects of an institution. Departments and budget units should have guidelines and procedures to evaluate operations including educational effectiveness. For example, the evaluation of academic programs should involve gathering and analyzing both quantitative and qualitative data that demonstrate student achievement. Most importantly, the results of evaluations should be used to improve operations. Using the *Institutional Effectiveness* database on Lotus Notes, Academic and Administrative and Support Units document their assessment plans at the beginning of each academic year (September) and conclude evaluation as soon as possible following the end of the academic year (summer) by completing their effectiveness tables and Annual Reports on the database. Please refer to the *IE Guides for Academic Units, Non-Academic Units, and Planning Calendar* on the Planning and Institutional Research website <http://www.uttyler.edu/PIR> for detailed instructions. Specific questions on Institutional Effectiveness should be directed to Shari Koukl at (903) 566-7214.

*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 Management Effectiveness 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 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 department issue a self-assessment report on internal control to its applicable division head each year (with a copy to UT Tyler’s Compliance Director). 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.

### **Endowment Management**

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

The endowment agreement signed by the donor, Federal, State, UT System, and UT Tyler policies, specify rules and guidelines that regulate and reinforce good stewardship on how endowment distributions must be used, mitigating unused accumulations, and maintaining a balance in DEFINE 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 Academic Affairs or 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 Office of Development and Gift Planning to be presented to the Chancellor and the Board of Regents of The University of Texas System. The report details endowments with unspent distributions, excessive balances in the local endowment accounts, and unfilled academic positions.

Specialized training for budget authorities and/or their designees and online resources for endowment policies is available from the Endowment Funds Compliance Assistant, Belinda Gill, at [bgill@uttyler.edu](mailto:bgill@uttyler.edu) or call (903) 565-5646.

## **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/cprtindx.htm#top>

## **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.

UT Tyler's record retention schedule is available on the Business Affairs homepage: [UT Tyler's Records Retention Schedule](#)

Specific questions about records retention requirements should be directed to Mary Barr at (903) 566-7151.

## **Records Storage and Disposal Policy**

The Physical Plant at U. T. Tyler offers a storage room for departments to store old files until the actual destruction date is met. The U. T. Tyler Records Storage and Disposal Policy can be found at:

<http://www.uttyler.edu/PhysicalPlant/storagepol03-03.htm>

Specific questions about records storage or disposal at the Physical Plant should be directed to Thomas Pinkerton at (903) 566-7164.

## **Protecting the Confidentiality of Social Security Numbers**

It is the policy of U. T. 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 for documents under the Texas Public Information Act should be directed to the Vice President for Business Affairs (VPBA) or his designee, the Director of Compliance immediately upon receipt and handled pursuant to the provisions of the Act. The VPBA 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>

## **Media Relations**

The Office of News and Information serves as the university's initial point of contact for all media. As a result, News and Information 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 News and Information 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 News and Information for further assistance.  
Contact: Beverley Golden, (903) 566-7303

## **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 printed materials is managed by the UT Tyler Office of News and Information to maintain consistency with

university standards and policies. Use for these marks for promotional items, uniforms, etc. is managed by the UT System Office of Trademark Licensing.

For more information, visit <http://www.uttyler.edu/news/servicesguide.htm>

## **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 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. 7302. 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) 566-7302 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/riskchecksheets.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.

***Student Injuries.*** Student injuries should be reported to University Police (ext.7302 if emergency or evening, ext.7060 if day and none emergency), Student Affairs (903) 566-7105, 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 (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 Accounts Payable, where it is reviewed for appropriate expenditure object codes and payment terms/dates. Documents with discrepancies are returned to the department for correction. Upon our final approval of the document, the payment date is automatically scheduled in DEFINE. Accounts Payable questions should be directed to Faye Baxter-Jones at (903) 566-7231 or [accounts\\_payable@uttyler.edu](mailto:accounts_payable@uttyler.edu). Vendor checks are printed in the Cashiers Office at approximately 12:00 noon, Monday-Friday, based on the scheduled payment dates. Information about the Cashiers Office can be found in the **Student Business Services** chapter of this handbook.

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

### **Business Contracts**

The Contract Administrator in Financial Services 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) 565-5805 or [lmurray@uttyler.edu](mailto:lmurray@uttyler.edu).

### **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 [psmith@mail.uttyl.edu](mailto:psmith@mail.uttyl.edu).

**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	33.0%

**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](mailto:wminix@uttyler.edu).

**Interdepartmental Transfer Vouchers**

Financial Services processes interdepartmental transfer vouchers (e.g., postal charges, copier charges) and correction vouchers. For assistance, contact Susan Adams at (903) 566-7327 or [sadams@uttyler.edu](mailto:sadams@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 - 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 Eloise Reed at (903) 565-5802 or [ereed@uttyler.edu](mailto:ereed@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](mailto:Payroll@uttyler.edu).

## **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.

***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/UTTylerFinancialServicesForms.html> 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. 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](mailto: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 \$999.00 (*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	<a href="#">PBO</a> (Small Order) P.O. # on PBO Screen
\$5,001 or greater	U T Tyler Purchasing Solicits Written quotes, Bids, or Proposals	<a href="#">PB4</a> ( 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	<a href="#">PB7</a> for Automated Contracts <a href="#">PBO</a> or <a href="#">PB4</a> For Non-Automated Contracts
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**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. University procurement credit cards may not be used to pay for 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 31<sup>st</sup> 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 Eloise Reed at (903) 565-5802 or [ereed@uttyler.edu](mailto:ereed@uttyler.edu).

### **Procurement Card Purchase Program**

The purchasing card is intended to offer an alternative payment method for purchases that are under \$1,000. Each individual card has a credit limit of \$5,000 per billing cycle and a transaction limit of \$999. 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 memberships, travel, entertainment, controlled or hazardous materials, printing, duplicating, 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. Signature authority may be delegated to other individuals by the budget authority. 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.

Purchasing questions should be directed to Eloise Reed at (903) 565-5802 or [ereed@uttyler.edu](mailto:ereed@uttyler.edu).

### **Report Distribution**

Financial Services is responsible for distributing voucher printouts and monthly statements of accounts (IF5s) requested via DEFINE. For assistance, contact Susan Adams at (903) 566-7327 or [sadams@uttyler.edu](mailto:sadams@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.doc](http://www.uttyler.edu/finserv/documents/PoliciesandProceduresHandbook_Travel.doc). 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 at [ytate@utsystem.edu](mailto:ytate@utsystem.edu).
2. All foreign travel, other than Canada, Mexico, U.S. territories (Virgin Islands and Guam), and U.S. protectorates (Jamaica) must have prior approval of the Vice President for Business Affairs by completing the *Request of Approval for State Employees Traveling to Foreign Countries* form at [http://www.uttyler.edu/finserv/documents/Form-TravelRequest-Foreign\\_000.doc](http://www.uttyler.edu/finserv/documents/Form-TravelRequest-Foreign_000.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.doc](http://www.uttyler.edu/finserv/documents/PoliciesandProceduresHandbook_Travel.doc)

**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/UTTylerFinancialServicesTravel.html>.

**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](mailto:fingram@uttyler.edu) or 903.565-5981. For additional details, see UT Tyler's Travelers Guide Handbook at <http://www.uttyler.edu/finserv/UTTylerFinancialServicesTravel.html>.

## **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 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.
- Tax sheltered annuities
- Membership at HPC campus fitness ctr. (\$10/mo. for employee - \$20/mo. family)
- Employee scholarships to attend classes at UT Tyler.
- Scholarships for the dependent children of U.T. Tyler employees and retirees.

Human Resources (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 shall 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 Dean of 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 nonclassified 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 (Case Management Associates, Inc.) 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 Case Management Associates, Inc. at 903-581-6300. 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.

## **Employee Discipline and Dismissal 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 Policy**

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

1. Institutional police, faculty or teaching staff who are subject to other approved discipline or dismissal procedures;
2. Suspension with pay pending investigation of allegations relating to an employee;
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 nonrenewal as provided in the Rules and Regulations of the UT System Board of Regents or the rules and regulations of the institution; or
4. Dismissal of employees
  - a. who are appointed to positions without fixed term and under applicable rule or regulation serve at the pleasure of a specific administrative officer,
  - b. who occupy positions that are dependent upon funding from a specific source and such funding is not received,
  - c. as a result of a reorganization,
  - d. because of financial exigency,
  - e. during the 180-day probationary period,
  - f. who are appointed for a stated period that is less than 180 days, or
  - g. who are appointed at a per diem or hourly rate and work on an as needed basis.

## **III. Discipline and Dismissal Policy and Procedures**

### **A. Requisite Standards of Conduct**

Each employee is expected to acquaint themselves with performance criteria for their particular job and with all rules, procedures and standards of conduct established by the UT System Board of Regents of The University of Texas System, the institution 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.

### **B. Conduct That is Subject to Disciplinary Action**

1. Work Performance
  - a. Failure of an employee to maintain satisfactory work performance standards can constitute good cause for disciplinary action including dismissal. The term "work performance" includes all aspects of an employee's work.
  - b. Work performance is to be judged by the supervisor's evaluation of the quality and quantity of work performed by each employee. When, in the opinion of the supervisor, the work performance of an employee is below standard, the supervisor should take appropriate disciplinary action.

2. Misconduct

- a. 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.
- b. 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 or wasting time during working hours;
  - (3) smoking anywhere except in designated smoking areas;
  - (4) gambling, participating in lotteries or any other games of chance on the premises at any time;
  - (5) soliciting, 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, having intoxicants or drugs in one's possession, 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) violations 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) neglect of duty or failure to meet a reasonable and objective measure of efficiency and productivity;
  - (14) theft, dishonesty or unauthorized use of institutional property including records and confidential information;
  - (15) creating a condition hazardous to another person on the premises;
  - (16) destroying or defacing institutional property or records or the property of a student or employee;
  - (17) 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;
  - (18) repeated tardiness or absence, absence without proper notification to the supervisor or without satisfactory reason or unavailability for work; and
  - (19) violation of policies or rules of the institution or The University of Texas System.

C. Investigations

1. All incidents that involve the potential for disciplinary action shall be investigated by the employee's supervisor or other designated administrative official.
2. If the investigation results in evidence that establishes with reasonable certainty that the employee engaged in conduct which warrants disciplinary action, the supervisor shall follow the predisciplinary hearing procedures before seeking approval for the proposed disciplinary action.

D. Predisciplinary Hearings

1. Policy

An employee shall be informed of the basis for any proposed disciplinary action resulting in demotion, suspension without pay or dismissal and have an opportunity to respond before a final decision is made to take disciplinary action. The hearing 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.

2. Procedures

There is no prescribed form for this hearing. It should be informal. However, before reaching a final decision to impose discipline, the supervisor shall:

- a. inform the employee, either in person or in writing, of the reasons for the proposed disciplinary action, the facts upon which the supervisor relies, the names of any persons who have made statements about the disciplinary incident and the content of such statements;
- b. give the employee access to any documentary material which the supervisor has relied upon; and
- c. give the employee an opportunity to respond to the charges either orally or in writing within a reasonable time and to persuade the supervisor that the evidence supporting the charges is not true.

If the supervisor is not persuaded that the evidence is untrue, the supervisor will review the evidence and proposed disciplinary action with the Director of Human Resources or his or her delegate and will obtain the approval of the appropriate department head or administrative equivalent before proceeding to impose the disciplinary penalty.

E. Imposing the Disciplinary Penalty

1. Notice

Upon completing the predisciplinary hearing procedures and obtaining the approval of the appropriate department head or administrative equivalent, the supervisor shall inform the employee in writing of the following:

- a. whether the disciplinary penalty is demotion, suspension without pay, or dismissal;
- b. the effective date of demotion, suspension, or dismissal;
- c. a specific period for a suspension without pay, not to exceed one (1) month;
- d. the specific incident, conduct, course of conduct, unsatisfactory work performance or other basis for the disciplinary penalty;

- e. any previous efforts to make the employee aware of the need to change or improve work performance or conduct; and
- f. reference to any relevant rule, regulation or policy.

The supervisor shall also inform the employee of the right to appeal the disciplinary action and provide them a copy of the appeal procedure.

2. Effect Upon Employee Benefits

- a. 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.
- b. If a demotion or suspension without pay is appealed and it is determined that there was not good cause for the demotion or suspension, the employee shall be entitled to payment for wages lost as a result of the demotion or suspension.
- c. If it is determined upon appeal that a dismissal was not for good cause, the employee shall be reinstated to the same or similar position and shall be entitled to payment of back wages less any unemployment 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.

### Procedure for Appealing Disciplinary Actions

Disciplinary actions resulting in dismissal, suspension without pay, or demotion may be appealed by the affected employee pursuant to the process set out below. The time limits set forth in the appeal procedure must be adhered to by both the employee and the appropriate supervisory and administrative personnel unless extended for good cause by the Director of Human Resources. The failure of the employee to process the appeal in a timely manner to the next level shall constitute a withdrawal of the appeal. The failure of supervisory or administrative personnel to timely respond to an appeal shall constitute authorization for the employee to process the appeal to the next step.

A. Step One

The employee may present a written appeal to the [title of administrative official] within five (5) working days from the date of the disciplinary action. The appeal shall contain a clear and concise statement of why the disciplinary action is inappropriate. Within ten (10) working days of the date of the appeal, a written decision shall be mailed to the employee.

B. Step Two

The decision of the step one official may be appealed to the [title of administrative official] within five (5) working days of the date of the step one decision. The appeal must be in writing and shall state why the decision of the step one official is incorrect. A written decision on the appeal shall be mailed to the employee within ten (10) working days of the date of the appeal.

C. Step Three [Step Two] If the employee is not satisfied with the step two [step one] decision, the employee may present a written request for a hearing before the vice president or administrative equivalent for the employee's department. The

request for a hearing must state with particularity why the disciplinary action was inappropriate and/or why the decision of the step two [step one] official should be changed. The request must be made within five (5) working days following the date of the appealed decision. The Vice President or administrative equivalent shall, in his or her discretion, either hear the appeal in person or appoint a delegate(s) to hear the appeal. The hearing shall be conducted pursuant to the procedure set out in Paragraph F below.

D. Step Four [Step Three]

If the employee is not satisfied with the step three [step two] decision, a written appeal may be made to the chief administrative officer of the institution within five (5) working days of the date of the step three [step two] decision and must state why such decision is incorrect. The review by the chief administrative officer shall be based solely upon the step three [step two] record and shall not include any new issue or evidence. Within a reasonable period of time, not to exceed thirty (30) days following the date of the appeal, a written decision shall be mailed to the employee. The decision of the chief administrative officer is final.

E. Records of Disciplinary Actions

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

F. Step Three [Step Two] Hearing Procedure

1. Pre-Hearing Rules and Procedures

a. Naming the Delegate(s)

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 such persons shall be designated to serve as chair in the notice to the employee.

b. Challenges to Impartiality

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).

c. Time Limits

The hearing shall be conducted as soon as practical, but not later than twenty (20) working days following the date of the appeal or the appointment of delegate(s).

d. Discovery Rights and Document Exchange

1. The employee may request institutional documents, records, or exhibits. Such request must accompany the step three [step two] written appeal. The requested records will be furnished if, in the opinion of the vice president or administrative equivalent or the designated chair, as the case may be, they are relevant to the appeal and are not made confidential by law.
2. At least five (5) 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.

2. Hearing Rules and Procedures

a. Role of Hearing Chair

1. 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 form and scope of cross-examination allowed during the hearing.
2. Upon request, the chair may consult with and be advised by counsel during the hearing.

b. 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 that does not claim the right to strike, the institution may be represented by an attorney from the Office of General Counsel of The University of Texas System.

c. Hearing Record

In all appeal hearings where the employee is represented by an attorney or an individual from an employee organization, a court reporter shall be furnished by the institution to transcribe the hearing and swear in witnesses. The party requesting a copy of the transcript of the proceedings shall be responsible for its cost. In all other appeal hearings the institution shall tape the hearing and make a copy of the tape available to the employee on request. The

transcript of the court reporter or the tape of the proceedings shall be the official record of the hearing.

d. Burden of Proof

The institution has the burden of proving by a preponderance of credible evidence that good cause exists for the disciplinary action and, therefore, shall have the right to open and close the proceedings.

e. Order of Presentation and Right to Cross-Examination

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

f. Institutional Employees as Witnesses

1. Any employee can be asked to appear as a witness for either party.
2. It shall be the duty of an employee requested to testify to do so as to any facts that may be relevant to the appeal.

3. Post-Hearing Rules and Procedures

- a. 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.
- b. 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).
- c. 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.

## 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.

1. 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.*
2. 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**

1. 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.
2. 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.
3. 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.
4. 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.
5. 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 Resources Management***

*Use and Protection of Information Resources.* Various Federal, State, UT System, and UT Tyler laws, policies, and guidelines 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 *Policy For the Use and Protection of Information Resources, Non-Disclosure Statement, and Acceptable Use Policy*. This is done electronically through the Lotus Notes email system as each new employee accesses his or her email. The policy is available at:

<http://www.uttyler.edu/Inforesources/acupolicy.pdf>

***Confidentiality of passwords.*** It is a violation of Chapter 7 of the Texas Penal Code to disclose computer passwords. Disclosing a computer password is now a crime with penalties ranging from a Class B misdemeanor to a felony depending on the related monetary damage. Therefore, computer passwords should be considered highly confidential. Never disclose your DEFINE, POISE, network, or other computer passwords to anyone. Furthermore, do not write or otherwise document your passwords in a place that is accessible by others.

***Information assets.*** Texas Administrative Code Section 202.20 states that the protection of information assets 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 security, reliability, integrity, and availability of the data.

The “owner” of data is the individual who is responsible for the function (or functions) that uses the data. The owner is responsible for (1) approving access to the data, (2) assigning custody of the data, (3) judging the data’s value, (4) specifying data controls and procedures, and (5) communicating data control requirements to the custodian and users of the data. Owners of data should restrict access to confidential, sensitive, and essential data to users who “need to know” to perform their duties—access should be restricted via user identification and passwords. The owner of data that is essential to critical UT Tyler operations must maintain a written and cost effective contingency plan that will provide for the prompt and effective continuation of critical functions in the event of a disaster. Also, the contingency plan must be tested and updated at least annually to assure that it is valid and remains current.

The “custodian” of data is the head of the department that houses and maintains the hardware upon which the data resides. The custodian is responsible for (1) implementing the controls specified by the owner; (2) providing access controls to the hardware, software, and data; (3) monitoring, detecting and investigating unauthorized attempts to gain access to the hardware or software; and (4) backing up data.

UT Tyler's Acceptable Use Policy and Confidentiality Compliance Statement for Student Records are available from Information Systems and Communications web site. All employees are required to read these and sign a written acknowledgement in Human Resources when they are hired. If a department head or budget authority has questions about information asset security, he or she should contact UT Tyler's Information Systems and Communications department for advice and counsel.

**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 maximum file size for email has been established at 200MB and a warning will appear if one's email file exceeds 190 MB. Email will continue to be received and sent to an employee's email file UNTIL the size of the file reaches 200 MB. At that time, an employee will not be able to receive email until the file size is reduced below 200 by deleting or moving existing email to local storage. Email and attachments should be deleted or moved to local storage and the email server should not be used to save old email and attachments. Instructions to establish local email storage are available in the Lotus Notes Help file. (see "Mail and Address Book", "Archiving mail messages to free up space", "Running an archive"):

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 Systems and Communications does not establish records retention policy. The University's email policy can be found at the following URL:  
<http://www.uttyler.edu/Inforesources/UTTemailpolicy.pdf>

**Network Connection.** Information Systems and Communications is the entity that is responsible for the campus network and as such, is to be notified prior to any new servers, switches, modems, or routers being placed on the network. 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 URL:  
<http://www.uttyler.edu/Inforesources/UTTnetworkpolicy.pdf>

**Workstation Security.** Anti-virus software and operating system updates and patches should be installed on all computers and the program should be configured to check for new virus definitions on a daily basis. If anti-virus software is not present on your computer, contact PC support at 7156. Also, if at all possible, PC support personnel should install all operating systems and application software. Information concerning determining if one has anti-virus software installed and how to configure it can be found

on the Information Systems and Communications departmental website at:

[http://www.uttyler.edu/inforesources/irhelp\\_howtos.htm](http://www.uttyler.edu/inforesources/irhelp_howtos.htm)

Workstations should also be turned off at night to prevent unauthorized access to them.

## ***Student Business Services***

### **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). 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 Bank One 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.

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

## ***Quick Guide to Resource Departments & Personnel***

This section of the handbook identifies key resource departments and personnel who are available to assist department heads and budget authorities when they have problems or questions.

### **Accounts Payable**

Accounts Payable is located in Financial Services. Accounts Payable approves all documents for payment to vendors; transactions are reviewed for reasonableness. The

originating department is responsible for entering data correctly and maintaining supporting documentation. Accounts Payable assists all departments with the DEFINE administrative system, object codes, and other related accounts payable questions. Accounts Payable questions should be directed to [accounts\\_payable@uttyler.edu](mailto:accounts_payable@uttyler.edu). For more information, visit the Accounts Payable website at: <http://www.uttyler.edu/finserv/UTTylerFinancialServicesAccountsPayable.html>

### Accounts Receivable

Student Business Services maintains, bills, and collects student accounts receivables such as short-term loans, insufficient checks, and installment balances. Students are placed on hold by Student Business Services when a debt owed to UT Tyler is past due. Questions about Accounts Receivable should be directed to Kamell Hawkins at (903) 565-5832 or [khawkins@uttyler.edu](mailto:khawkins@uttyler.edu).

### Accounting

General Accounting is located in Financial Services. General Accounting is responsible for distributing vendor payments, stopping payment or canceling local and state funds payments, processing interdepartmental transfer vouchers (IDTs) and correction documents (VT6s), and distributing monthly statements of accounts (IF5s) requested via DEFINE. General Accounting also enters bank deposits for the Office of Accounting, maintains official accounting documentation, and maintains capital equipment records for UT Tyler. For assistance, contact Susan Adams at [sadams@uttyler.edu](mailto:sadams@uttyler.edu) or (903) 566-7327.

### Air Conditioning / Heating

Physical Plant HVAC technicians operate, maintain, and repair chilled and hot water systems, cooling towers, centrifugal units, and mechanical refrigeration systems. All requests or questions concerning air conditioning or heating should be directed to Caroline Simmons in Physical Plant (903) 566-7291.

### Alumni Affairs

The UT Tyler Alumni Association supports UT Tyler through various programs and fosters good fellowship and loyalty among former students and friends of the university. Questions about the Alumni Association should be directed to Bobbye Rucker, Director of Alumni Affairs (903) 566-7318. For more information, visit the Alumni website at: <http://www.pastpatriots.com>.

### Athletics Department

The Athletic Department consists of fifteen sports; men's and women's cross country, soccer, basketball, tennis and golf, women's volleyball, softball, men's baseball and men's and women's outdoor track and field. Go to <http://www.uttyler.edu/athletics> for more information, or call (903) 566-7105.

### Audio/Visual Services

See **Educational Technology Services**.

### Audit Services

UT Tyler's Audit Services performs operational, financial, and compliance audits as directed by UT Tyler's Institutional Audit Committee. Members of the Institutional Audit Committee include the President, the Vice President for Academic Affairs, the Vice President for Business Affairs, the Dean of Enrollment Management, the Director of Compliance, the Executive Director of Accountability and Information Technology, one outside member, and the Director of the UT System Audit Office. Audit questions should be directed to UT Tyler's Auditor Services Director, Kathy Kapka (903) 566-7114.

### Benefits, Employee

Human Resources is responsible for providing information to employees about insurance and other UT Tyler benefits. Questions about employee benefits should be directed to Lynne Bandy (903) 566-7358 or Mark Clements (903) 566-7391. For more information, visit the Human Resources website at: <http://www.uttyler.edu/ohr/>.

### Bookstore

UT Tyler has contracted with Texas Book Company to operate the university bookstore. The bookstore sells textbooks, supplies, software, apparel, and other miscellaneous retail items. Questions about bookstore operations should be directed to the Texas Book Company's on-site manager (903) 566-7238.

### Budget Office

The Budget Office is available to your questions about operating budgets, capital budgets, the budget process, budget documents, budget transfers, or any other matter related to departmental or institutional budgets. UT Tyler's budget officer is the Assistant Vice President for Business Affairs (903) 566-7222. You may also contact Eva Burnett, Budget Analyst at (903) 566-7045.

### Building Maintenance

Physical Plant building maintenance technicians handle all building maintenance: electrical work, plumbing, carpentry, painting, and vehicle servicing. All requests or questions concerning building maintenance should be directed to Caroline Simmons in Physical Plant (903) 566-7291.

### Campus Computing Center

Campus Computing Center (CCC) is the only general use computer lab on campus open to all students. It is located in BUS 101. Any questions about Campus Computing Center should be directed to Michael Vick (903) 566-7357. For more information visit the Campus Computer Center website at: <http://www.uttyler.edu/ccc/index.html>

### Campus Computing Services

Campus Computing Services (CCS) provides computing and networking services to students, faculty, and staff in support of teaching, learning, and research. Any questions about Campus Computing Services should be directed to Michael Vick (903) 566-7357.

### Capital Asset Inventory

Capital asset inventory records are managed by Financial Services. For assistance, call Brenda Bowie (903) 566-7409. For more information, visit the Inventory website at: <http://www.uttyler.edu/finserv/UTTylerFinancialServicesInventory.html>

### Cashiers' Office

The Cashiers' Office is located in Student Business Services. The Cashiers' Office is responsible for cash receipts and disbursements. For assistance, call (903) 566-7227.

### Catering

Subway, Blends & Brews, Grilleworks, The Met, and Harvey's On the Lake, may provide on-campus food services and catering for UT Tyler events. Notification concerning a catered event must be received at least three days prior to the event. You will be provided an estimated cost for a catered event. To request catering services, call Shannon Mariani, Food Service Manager, at (903) 566-7074 or by email:

[SMariani@uttyler.edu](mailto:SMariani@uttyler.edu)

You can also contact, Cynthia Crouch, Catering Manager at (903) 566-7074 or by email: [crouch-cynthia@aramark.com](mailto:crouch-cynthia@aramark.com) or Michael Quiballo, Assistant Food Service Director at (903) 565-5770 or by email: [quiballo-michael@aramark.com](mailto:quiballo-michael@aramark.com).

### Central Telephone

Operations of the switchboard are outsourced. After receiving an automated menu listing various options, calls to the main campus number are routed to the operator who transfers the call to the requested party. Steve Wilson at [Steve.Wilson@uttyler.edu](mailto:Steve.Wilson@uttyler.edu) or (903) 566-7155 should be contacted regarding switchboard operations.

### College Work-study Program

See ***Work-Study Program***.

### Compliance Office

UT Tyler's Institutional Executive Compliance Committee monitors institutional compliance with applicable laws, regulations, policies, and procedures. All UT System Campuses have a compliance program in place. Questions about institutional compliance should be directed to UT Tyler's Director of Compliance, Mary Barr (903) 566-7151). For more information about the Compliance Office at UT Tyler visit the Compliance website at: <http://www.uttyler.edu/compliance>

### Compliance/Ethics Hotline

UT Tyler's compliance/ethics hotline provides a confidential mechanism for employees to report instances of suspected non-compliance and fraud. The compliance/ethics hotline (1-800-500-0333) is answered by a company that specializes in providing a confidential service to employees. Employees can also submit a report through the web or via a designated P.O. Box. For more information about the Compliance/Ethics Hotline and alternative reporting mechanisms visit the Compliance website at: <http://www.uttyler.edu/compliance/EthicsLine.htm>

### Computer Assistance

Campus Computing Services supports both Macintosh and IBM-compatible personal computers that are connected to UT Tyler's local area network. In addition, Campus Computing Services supports application software that is available on the network. Computer assistance is available by using the Lotus Notes UTT Computer/Help Problems database or by calling Kenny Sikes (903) 566-7375.

### Contracts

All contracts and agreements (i.e.: documents requiring a signature), excepting grant funded and sponsored research agreements, obligating the University must be reviewed by the Financial Services Contracts Administration office. All contracts and agreements must be signed by UT Tyler's Vice President for Business Affairs or other authorized officer with delegated signature authority. Forward all draft contracts to Lee Murray, contracts administrator, ADM 122-C, (903) 565-5805, [lmurray@uttyler.edu](mailto:lmurray@uttyler.edu). Grant funded and sponsored research agreements should be forwarded to the Office of Sponsored Research.

### Copy Center

Upon request, the UTT Copy Center will provide an estimated cost for print jobs. If a budget authority is not satisfied with the estimated cost, bids from other printing service may be obtained which the Copy Center can provide assistance in obtaining quotes. For price estimates or other questions about the Copy Center services please call Todd Haines, Copier Services Manager at (903) 566-7236.

### Corporate Travel Planners

UT Tyler's travel agent is Corporate Travel Planners and can be reached at 1-866-366-1142 or [uttravel@travelctp.com](mailto:uttravel@travelctp.com). Corporate Travel Planners centrally bills UT Tyler for airfare and rental cars. Travelers must have an approved Request for Travel Authorization (RTA) and a DEFINE account number before making travel arrangements with Corporate Travel Planners. Car rentals only should be processed through Faye Ingram, (903) 565-5981.

### Counseling, Employee

Human Resources personnel are available to answer questions about employee counseling (903) 566-7234. UT Tyler contracts with an external employee assistance program (Case Management Associates, Inc.) 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. Employees who want to contact our Employee Assistance Program provider directly may call Case Management Associates, Inc. at (903) 581-6300. All contacts and counseling provided by Case Management and Associates is confidential.

### Cowan Center

The Cowan Center presents national and international touring arts and educational programming to benefit both academic and student life and to enrich the cultural climate for the East Texas Region. The Cowan Center offers use of various rooms and halls to on campus users. The Cowan Center also provides tours of the facility with appointments. Questions about reservations and tours should be directed to Susan Thomae-Morphew (903) 566-7191). Visit the Cowan Center website for more information at <http://www.uttyler.edu/cowan/>.

### Custodial Services

Custodial services are provided by Southeast Services, an external custodial services company. Contracted custodial services include the following: emptying all trash receptacles, replacing receptacle liners, vacuuming carpet and mats, cleaning door glass and frames, dust or wet mopping non-carpeted floors, cleaning blackboards, dusting horizontal surfaces, and cleaning classrooms, kitchenettes, and restrooms. Questions or comments about custodial services should be directed to Van Howard in Physical Plant (903) 566-7162.

### Educational Technology Services

Educational Technology Services (ETS) provides the logistical, technical, and professional support for faculty, staff, and students in the use of educational technology. Technology support is offered in these major areas: interactive video operations, audio/video equipment distribution for classroom and administrative presentations, and the development and support of online courses. Questions about Educational Technology Services should be directed to Kyle Stewart, Manager (903.566.7321), or his assistant, Jan Van Pelt (903.566.7347).

### Employee Assistance Program

UT Tyler contracts with an external employee assistance program (Case Management Associates, Inc.) 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. Employees may call Case Management Associates, Inc. at (903) 581-6300.

### Enrollment Management

The division of Enrollment Management includes the offices of Admissions and Financial Aid. This unit is responsible for the planning and implementation of the university's student recruitment program, the admission to the university of all applicants, and the administration of student financial aid programs.

### Environmental Health and Safety

Environmental Health and Safety performs building and departmental safety reviews, fire prevention activities, occupational health and safety training, employee accident investigations, hazardous materials management, and hazardous waste disposal services. The University Safety Committee monitors these activities and services. Questions about environmental health and safety issues should be directed to Paula Tate, Director of Environmental Health & Safety (903) 566-7011. For more information, visit the Environmental Health and Safety website: <http://www.uttyler.edu/safety/>

### Ethics Officer

Questions about campus ethical issues such as nepotism or conflicts of interest should be directed to UT Tyler's ethics officer, the Vice President for Business Affairs. (903) 566-7107).

### External Contracts

The Vice President for Business Affairs or authorized officer with delegated signature authority must sign all contracts or agreements for goods or services regardless of fund source. These contracts must be on standard Office of General Counsel forms or be reviewed in accordance with Office of General Counsel guidelines. Lee Murray in Financial Services (903) 565-5805 or [lmurray@uttyler.edu](mailto:lmurray@uttyler.edu) will assist in reviewing and preparing contracts, excepting grant funded and sponsored research agreements. Grant funded and sponsored research agreements should be forwarded to the Office of Sponsored Research.

### Financial Aid Office

UT Tyler's Financial Aid Office manages all federal, state, and institutional student financial aid & scholarship programs, non-university scholarships, and agency funding. The Financial Aid Office's telephone number is (903) 566-7180.

### Financial Reports

Financial Analysts in Financial Services are responsible for monitoring all Education and General Funds, Designated Funds, Auxiliary Funds, Restricted Funds, Loan Funds, Endowment Funds, Plant Funds, and Agency Funds. Financial Analysts prepare the annual financial report and other financial reports. Questions about Financial Reports should be directed to Greg Mekalip (903) 566-7223.

## Financial Services

Financial Services is located in ADM 123. The department provides various services to the campus community including travel, payroll, purchasing, accounts payable, inventory, cash management, business contracts, and financial reporting. The Director of Financial Services is Carrie Clayton at [cclatyon@uttyler.edu](mailto:cclatyon@uttyler.edu) or (903) 566-7184.

## Furniture Storage / Movement

Physical Plant Central Receiving maintains a warehouse for surplus capital inventory. Furniture movement services are provided by Southeast Services, an external custodial services company. All furniture purchases should be purchased as assembled products. All requests should be made through the **Work Request System**. Questions concerning furniture storage / movement should be directed to Caroline Simons in Physical Plant (903) 566-7291.

## Grants

The Office of Sponsored Research is responsible for grant administration. The Associate Vice President for Sponsored Research is Dr. Arlene Horne and the Assistant Director of Sponsored Research is Mr. Sergio Padilla. Questions should be directed to Arlene Horne at (903) 566-7132 or Sergio Padilla at (903) 565-5670. For more information, visit the Contracts and Grants website at: <http://www.uttyler.edu/research/>

## Grounds Maintenance

Grounds maintenance is provided by Enviro-Care, an external grounds maintenance company. All modifications to grounds should be requested through the **Work Request System**. Questions or comments about grounds maintenance should be directed to Van Howard in Physical Plant (903) 566-7162.

## Hot Line

See **Compliance/Ethics Hotline**.

## Human Resources

Human Resources is responsible for answering all questions related to employment, wage and salary administration, insurance and other benefits, retirement plans, employee relations, leave administration, personnel records, workers' compensation insurance and training. These questions should be directed to Joe Vorsas, the Director of Human Resources at (903) 566-7294 or Lynne Bandy, Benefits Manager at (903) 566-7358, Mark Clements, Human Resources Representative I at (903) 566-7391 or Judy Parker, Human Resources Specialist III at (903) 566-7234. For more information, visit the Human Resources website at: <http://www.uttyler.edu/ohr/>

## Information Systems and Communications

Information Systems and Communications supports UT Tyler's information technology infrastructure including UT Tyler's local area network, software applications on the network, personal computers connected to the network, and telecommunications.

Questions about Information Systems and Communications should be directed to Steve Wilson, Director of Information Systems and Communications (903) 566-7155. For policy information visit the Information Systems and Communications website:

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

### Insurance, Employee Group

Human Resources is responsible for answering all questions related to employment, wage and salary administration, insurance and other benefits, retirement plans, employee relations, leave administration, personnel records, workers' compensation insurance and training. These questions should be directed to Lynne Bandy, Benefits Manager at (903) 566-7358 or Mark Clements, Human Resources Representative I at (903) 566-7391. A link to the U.T. System Employee Group Insurance website and the various individual insurance providers can be found on the U.T. Tyler Human Resources website <http://www.uttyler.edu/ohr/> or by going directly to the following Employee Group Insurance website at: <http://www.utsystem.edu/benefits/>

### Interactive Television Equipment / Services

Educational Technology Services manages UT Tyler's interactive television network. This office can answer questions about interactive television equipment, scheduling, class recordings, courier system, and personnel. Questions about interactive television operation should be directed to the departmental Help Desk (903) 566-7138. Policy questions should be directed to Kyle Stewart (903) 566-7321 or Denise Duncan (903) 565-5996, <http://www.uttyler.edu/ets/>.

### Internal Audit

See **Audit Services**.

### Internet Access

Internet access is provided for every personal computer attached to UT Tyler's local area network. All UT Tyler classrooms have network connections. In addition, all University Pines apartments have network connections. Questions regarding University Pines Internet Access, contact Michael Vick (903) 566-7357. All other Internet questions should be directed to Diane Garrett (903) 566-7292, Roy Greer (903) 566-7125, or Cammi Derr (903) 566-7158 or Chris Green (903) 566-7190.

### Keys

Physical Plant issues keys to employees after necessary approvals have been obtained. A blue key request form must be completed for each key; the blue form must be approved by the Dean of the school or Director of the department and the Director of Physical Plant. The issuance of a GGMK key must be approved by the President. There is a nominal fee to replace a key that has been lost. Questions about keys should be directed to Caroline Simmons in Physical Plant (903) 566-7291.

Proximity ID cards are issued for entry into buildings after-hours by submitting a request through the Lotus Notes Key Request Database. The requests are electronically routed

for the proper approvals and once all approvals have been received a notification is sent to the Cashier's Office for the card to be produced. Once the card has been created, an email is sent to the employee that it is ready to be picked up at the Cashier's Office.

### Legal Assistance

UT System's Office of General Counsel provides legal services for UT Tyler. All draft contracts or agreements should be sent to Lee Murray, Contracts Administrator, who will review and forward contracts to UT System for review and approval. After UT System approves a contract, the Vice President for Business Affairs executes the contract on behalf of the institution. All other legal services should be coordinated through UT Tyler division heads.

### Lighting

Physical Plant Building Maintenance handles the replacement of flickering or burned out light bulbs. All requests should be made through the **Work Request System**. Questions concerning lighting should be directed to Caroline Simmons in Physical Plant (903) 566-7291.

### Mail Services

Physical Plant Mail Services receives, sorts, distributes, and picks up all internal and external mail daily. Mail is picked up once in the morning and delivered to the post office once in the afternoon. All mail has to be ready for processing by 3:45 PM each day in order to meet the post office deadlines. At the end of each month a statement of mail charges is forwarded to each department. All requests or questions concerning Mail Services should be directed to Matt Izard (903) 566-7086.

### Mail Services and Central Receiving

Physical Plant Central Receiving receives and distributes all goods purchased with a purchase order. In addition, all overnight packages other than express mail are received and distributed by Central Receiving. Central Receiving also maintains a Central Warehouse for surplus capital inventory. All questions about Mail Services and Central Receiving should be directed to Matt Izard, supervisor (903) 566-7086.

### Maintenance (Building)

Physical Plant building maintenance technicians handle all building maintenance: electrical work, plumbing, carpentry, painting, and vehicle servicing. All requests should be made through the **Work Request System**. Questions concerning building maintenance should be directed to Caroline Simmons in Physical Plant (903) 566-7291.

### Network (Local Area Network) Support

Information Systems and Communications supports UT Tyler's local area network. All personal computers connected to the network have Internet access, electronic mail, word processing, spreadsheet, presentation, flowcharting, database, and personal scheduling software products. All UT Tyler offices, classrooms, and University Pines apartments have network connections. Questions about UT Tyler's local area network should be

directed to Roy Greer (903) 566-7125, Diane Garrett (903) 566-7292 or Cammi Derr (903) 566-7158 or Chris Green (903) 566-7190.

### Open Records Requests

Open records requests under the Texas Public Information Act should be directed immediately to Mary Barr (903) 566-7151, in USC 155.

### Painting

Physical Plant building maintenance technicians handle all building maintenance: electrical work, plumbing, carpentry, painting, and vehicle servicing. All requests or questions concerning building maintenance should be directed to Caroline Simmons in Physical Plant (903) 566-7291.

### Passwords, Computer`

Information Systems and Communications handle the initial assignment of user identifications and passwords to access the local area network and administrative systems. Questions about computer passwords should be directed to Julie Hicks (903) 566-7150 or Cammi Derr (903) 566-7158 or Chris Green (903) 566-7190 or Robbie Woodley (903) 566-7102.

### Patriot Power Card (University ID)

Lost or stolen P<sup>2</sup> cards should be reported to Student Business Services or the University police after regular business hours. Replacement IDs are \$15.00. ID cards are used to gain access into the library, computer labs, Patriot Center and the Cowan Center. Money can be deposited on to the cards to be used at various locations both on campus and off. Special proximity ID cards are issued that allow for door access (see Keys for more information).

### Payroll

Payroll is responsible for processing the monthly payroll and two semi-monthly payrolls each month. Questions about personnel appointments, payroll timetables, payroll amounts, direct deposit, withholding or other payroll deductions should be directed to [Payroll@uttyler.edu](mailto:Payroll@uttyler.edu). For more information, visit the Payroll website at: <http://www.uttyler.edu/finserv/UTTylerFinancialServicesPayroll.html>

### Personal Computers

Campus Computing Services is responsible for the support of all personal computers connected to the campus network. Questions regarding the installation of hardware or software or problems encountered with personal computers should be directed to Michael Vick (903) 566-7357 or Chad Kurtz (903) 566-7156.

### Personnel

Human Resources is responsible for answering all questions related to employment, wage and salary administration, insurance and other benefits, retirement plans, employee relations, leave administration, personnel records, workers' compensation insurance and

training. These questions should be directed to Joe Vorsas (903) 566-7294 or Lynne Bandy, Benefits Manager (903) 566-7358, Mark Clements, Human Resources Representative I at (903) 566-7391 or Judy Parker, Human Resources Specialist III at (903) 566-7234. For more information, visit the Human Resources website at: <http://www.uttyler.edu/ohr/>

### Physical Plant

Physical Plant consists of several operating units: Physical Plant Administration, Building Maintenance, Custodial Services, Grounds Maintenance, Central Receiving, Mail Services, Utility Operations, Architecture, Engineering, and Construction. All modifications to buildings and/or grounds should be requested through the **Work Request System**. Chip Clark is the Director of Physical Plant (903) 566-7291. For more information visit the Physical Plant website at: <http://www.uttyler.edu/PhysicalPlant/>

### Police

See **Security**.

### Print Shop

Upon request, the Print Shop will provide an estimated cost for a print job. If a budget authority is not satisfied with the estimated cost, bids from other printing services may be obtained. For price estimates or other questions about the Print Shop, please call (903) 566-7236.

### Public Affairs

The public affairs function at UT Tyler includes news media relations, University Web site, production of brochures and other publications, institutional marketing and advertising, special university events and governmental relations. Public affairs initiatives, which include activities of the Office of News and Information, are supervised by Dr. Howard Patterson, Interim Vice President for Student Affairs and External Relations (903) 566-7316. Questions related to any of these services, should be directed to Beverley Golden, Director of News and Information (903) 566-7303.

### Purchasing

Financial Services assists departments with procurement policy and procedure and final approves purchase requisitions. Questions about procurement policy, procedure, or PointPlus procurement requisitions should be directed to Faye Baxter-Jones at (903) 566-7231 or fbaxterj@uttyler.edu or Glenda Bennett at (903) 566-7041 or [gbennett@uttyler.edu](mailto:gbennett@uttyler.edu) or Eloise Reed at (903) 565-5802 or ereed@uttyler.edu. For more information on Purchasing, visit the Purchasing website at: <http://www.uttyler.edu/finserv/UTTylerFinancialServicesPurchasing.html>

### Records Retention Officer

UT Tyler complies with State of Texas records retention requirements. Questions about records retention should be directed to UT Tyler's records retention officer, Mary Barr, at (903) 566-7151. U.T. Tyler's record retention policy can be viewed at:

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

### Registrar's Office

The Registrar's Office maintains class schedules, grades, transcripts, processes registration requests, name and address changes and other functions for students. To contact the Registrar's office, call 903-566-7215.

### Safety Office

See Environmental Health & Safety.

### Security

The University Police Department is responsible for the safety and security of students, faculty, staff, and visitors to UT Tyler. For all emergencies (police, fire, ambulance) on the UT Tyler campus, call 9-1-1. Questions about University Police or campus security should be directed to Chief of Police Mike Medders (903) 566-7393. For more information, visit the Campus Police website at: <http://www.uttyler.edu/police/>

### Software Support

Campus Computing Services supports the software packages that reside on the network. Questions about software packages that reside on the network should be directed to Michael Vick (903) 566-7357 or Chad Kurtz (903) 566-7156.

### Student Affairs – Student Success

Student Affairs provides services and an enriching student life that promotes student success. The Student Success programs are under the leadership of Lou Ann Berman (903) 566-7052.

Student Success services include the Academic Advising Center, the Academic Support Center, Residence Life and Judicial Affairs, Career Services & Placement and Student Development. The Office of Student Development houses Career Services and Placement, Student Organizations, Student Activities, Greek Life, Student Government Association, New Student Orientation, the Student Leadership Development Program, Community Relations & Parent Resource Center, Student Learning Communities and University Center Operations.

The Director of the Academic Advising Center is Janna Chancey (903) 565-5712. All new freshmen students, or transfer students who are not core complete, receive academic advising through this office

The Administrator for the Academic Support Center is Dana Welch (903) 565-5727. Supplemental instruction and tutoring are provided at no charge to students enrolled in selected courses that have been identified by faculty to be especially academically rigorous.

The Director of the Office of Student Development, Mindy Sutton, (903) 565-5651 oversees Greek Life, freshman orientation, student learning communities, campus

activities, community relations, the Parent Resource Center, new student orientation, student organizations, and the Student Government Association.

The Director of Residence Life and Judicial Affairs is David Hill (903) 566-7028. In addition to overseeing all aspects of the residential campus environment for students, this office is responsible for all student conduct and discipline matters.

The Office of Community Relations and the Parent Services Center is under the direction of Carol Killingley (903) 566-7050. This office coordinates all student volunteer activities on campus and in the community as well as serving as the parent resource office.

### Student Business Services

Student Business Services provides service to both students and employees. The Cashier's Office resides in Student Business Services. Student Business Services is located in ADM 125.

### Student Services

The Director of Student Services is Ida MacDonald. The general phone number for Student Services is (903) 566-7079. The Office of Student Services includes the Student Counseling Center, Wellness and Prevention Education, Disability Support Services, Testing Services, and oversight of The University Health Clinic.

### Tax Forms

Payroll is responsible for processing annual employee W-2 forms, independent contractor 1099 forms, and foreign person's income 1042S forms. Questions about tax forms related to income should be directed to [Payroll@uttyler.edu](mailto:Payroll@uttyler.edu).

### Telephone Operator

The switchboard operator answers and transfers telephone calls to the appropriate UT Tyler extension. The switchboard operations are outsourced. Steve Wilson, [Steve.Wilson@uttyler.edu](mailto:Steve.Wilson@uttyler.edu) or (903) 566-7155, should be contacted regarding the switchboard.

### Telephone Service Center

Information Systems and Communications manage and support UT Tyler's telephone system. Information Systems and Communications handle requests to install, repair, or change telephones. In additions, Information Systems and Communications answers questions about voice mail, billing statements, work order cost estimates. Questions about telephones should be directed to Julie Hicks (903) 566-7150, Roy Greer (903) 566-7125, or Shane Mitchell (903) 566-7199.

### Travel

Travel is located in Financial Services. Travel approves all documents for travel reimbursements and payments to vendors; the transactions are reviewed for

reasonableness. The originating department is responsible for entering data correctly and maintaining supporting documentation. Travel questions should be directed to Faye Ingram, [fingram@uttyler.edu](mailto:fingram@uttyler.edu) or (903) 565-5981. For more information on Travel, visit the Travel website at:

<http://www.uttyler.edu/finserv/UTTylerFinancialServicesTravel.html>

### University Advancement

UT Tyler's Office of University Advancement is charged with the responsibility and authority to coordinate all private fund-raising activities of the university. Staff members are responsible for receiving, accepting, acknowledging, and recording all gifts received by the university. Staff members seek to develop and coordinate programs that enhance the visibility and extend the academic reputation of UT Tyler. Questions about the Office of University Advancement should be directed to Jerre Iversen, Vice President of University Advancement (903) 566-7110. For more information, visit the Office of University Advancement website at: <http://www.uttyler.edu/advancement/index.html>

### Utility Operations

Physical Plant Utility Operations maintain UT Tyler's central systems of boilers and chillers. In addition, Utility Operations monitors the air conditioning systems, heating and ventilation equipment as well as being responsible for the maintenance of the systems. All questions about Utility Operations should be directed to Jimmy Taylor in the Power Plant (903) 566-7030

### Vending Machines

UT Tyler has a contract with Tyler Coca-Cola Bottling Company to provide beverage vending machines in all UT Tyler buildings. Snack vending machines are provided by AVS Food Services in all campus buildings. Vending machine refunds are handled by the Cashiers' Office (ADM 125A).

### Web (Worldwide Web) Support

UT Tyler's web server is maintained by the Department of Information Systems and Communications. Information Systems and Communications also establish user directories on the server for faculty and staff. Such requests should be directed to Diane Garrett (903) 566-7292 or Cammi Derr (903) 566-7158 or Chris Green (903) 566-7190. The Office of News and Information maintains the university's web pages. Questions about UT Tyler's web pages should be directed to Robin Kelly (903) 566-7061.

### Workers' Compensation insurance

Human Resources is responsible for helping 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, notify the following departments: University Police (903) 566-7300, Environmental Health and Safety (903) 566-7011, and Human Resources (903) 566-7358.

### Work Request System

The department requesting work to be performed should first procure budget authority approval and an account number in advance of the work request. The work request system is located in the Lotus Notes database. The original work request information should include the budget authority's name, approval, account number, and a description of the work requested.

### Work-Study Program

UT Tyler's Financial Aid Office administers federal, state, and institutional work-study programs; these programs provide on-campus, part-time employment for students with financial need. Questions about work-study programs should be directed to Amanda Srur, Financial Aid Counselor (903) 565-5628.

## *Appendix: Forms*

### **Environmental Health and Safety Forms:**

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

### **Financial Services Forms:**

<http://www.uttyler.edu/finserv/UTTylerFinancialServicesForms.html>

### **Human Resources Forms:**

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