

## Management Effectiveness Training – November 2009

### **Notes from Compliance presentation:**

Most of the Management Effectiveness Training and the General Compliance Training modules are based on the Standards of Conduct Guide, the Management's Responsibilities Handbook, and the Conflict of Interest Policy. The most current versions of all of these can be found on the UT Tyler website under *Faculty/Staff* and then under *Faculty Staff Links*. They can also be found on the Institutional Compliance website under *Documents and Resources*.

<http://www.uttyler.edu/mainsite/facultystaff.html>

<http://www.uttyler.edu/compliance/Documents.htm>

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Three functions of the Compliance Office that are required of the Budget Authority:

**Quality Assurance Review** – mini-review of your area that normally is about every three years. Items such as purchasing, procards, travel documents, and inventory are looked at along with a series of questions answered by the budget authority. The report goes to you, your direct supervisor, and the Compliance Officer, Gregg Lassen.

<http://www.uttyler.edu/compliance/QAR.htm>

**Control Self Assessment** – An electronic form completed by the budget authority that self assesses how their department did the previous year in various categories including financial, human resources management, asset protection, etc.

**General Compliance Training** – completed via the Training Post. New employees take the 13 general compliance within 60 days of employment. Returning employees take every other year. You can review modules even when you are not scheduled at any time by going to either the Human Resources' home page or to Institutional Compliance's home page.

<http://irweb.uttyler.edu/uttylet/>

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**Compliance/Ethics Hotline** – 1-800-500-0333 – answered 24/7 by The Network. You can also call Audit Services or Compliance, fill in a web report (also through The Network) or you can send a letter to a specified PO Box.

<http://www.uttyler.edu/compliance/EthicsLine.htm>

## **Records Retention Schedule**

Before you destroy documents, you must check the UT Tyler Records Retention Schedule to ensure that the documents have met or exceeded their retention date.

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

## **Texas Public Information Act**

An open records request is a written request asking to view or to obtain copies of documents in the possession of and maintained by the University. Your email is subject to the Act.

What to do if you or one of your employees receive a written request:

*US Mail or hand delivered:*

If it is through the US mail or if it is hand delivered it can be to any employee on campus and it is a valid request. Please contact Mary Barr immediately as we have a ten business day time period after receipt to seek an opinion from the Attorney General's Office if parts or all of what they are requesting are excepted under the Act or by other laws such as FERPA.

What to do if you or one of your employees receive a written request by email or fax:

*Email or Fax:*

The Attorney General's Office has ruled that an email or fax request has to be to the specific email or fax we have posted on the website. If you or an employee in your area received it through email or to your office fax, please respond back to the requestor that you are not the correct person to send their request to and refer them to the Open records link at the bottom of the UT Tyler homepage.

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

(Scroll to bottom of page and under "Links" click on "Open Records")