

# THE UNIVERSITY OF TEXAS AT ARLINGTON

## MANAGEMENT LEADERSHIP TOOL

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STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<b>OVERVIEW</b>		
<p>1. All benefits eligible employees in my department have a copy of the UT Arlington <u>Standards of Conduct Guide for Employees</u>.</p>	<p>A Standards of Conduct Guide for Employees  <a href="http://www.uta.edu/compliance/pdf/conduct_guide.pdf">www.uta.edu/compliance/pdf/conduct_guide.pdf</a></p>	<ul style="list-style-type: none"> <li>• Encourage employees to read and stay familiar with the UT Arlington <u>Standards of Conduct Guide for Employees</u>.</li> <li>• Encourage employees to bring questions or observations of unethical activity to their supervisor.</li> <li>• Provide new employees with an orientation regarding their duties and responsibilities.</li> <li>• The <u>Standards of Conduct Guide for Employees</u> is available online at <a href="http://www.uta.edu/compliance">www.uta.edu/compliance</a></li> <li>• Inform employees that they can report suspected issues of non-compliance anonymously through the Ethics Hotline 1-877-507-7314. More information about the hotline is available at <a href="http://www.uta.edu/compliance">www.uta.edu/compliance</a></li> </ul>
<p>2. Employees in my department, who are required to complete online compliance training, have completed the compliance training modules assigned to them.</p>	<p>UT Arlington Training Website  <a href="https://www.uta.edu/training">https://www.uta.edu/training</a></p>	<ul style="list-style-type: none"> <li>• Emphasize the importance of completing the online compliance training by the required deadline to all benefits eligible employees.</li> <li>• New employees complete their compliance training within 30-45 days of hire.</li> <li>• Continuing employees complete their training annually, generally in October/November.</li> <li>• Contact University Compliance Services at 817-272-5100 or <a href="mailto:compliance@uta.edu">compliance@uta.edu</a> to determine the status of employees' online training.</li> </ul>
<p>3. I am aware that it is important to have measurable written goals and objectives for my department.</p>	<p>Unit Effectiveness Process Website  <a href="http://www.uta.edu/irp/unit_effectiveness_plans/uep.htm">http://www.uta.edu/irp/unit_effectiveness_plans/uep.htm</a></p>	<ul style="list-style-type: none"> <li>• Define department/unit purpose statement.</li> <li>• Define department/unit core functions and/or student competencies for each degree offered.</li> <li>• Develop the Department/Unit Assessment Plan for Administrative or Student Learning Outcomes.</li> </ul>

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4. I am aware that it is important to have written departmental policies and procedures, including procedures for critical systems/processes in my department.	Departmental Policies and Procedures Manual Template <a href="http://www.uta.edu/compliance/department-manuals">http://www.uta.edu/compliance/department-manuals</a>	<ul style="list-style-type: none"> <li>Identify critical operations and include policies and procedures, as appropriate.</li> <li>Develop procedures and review and update them annually using the Departmental Policies and Procedures Manual as a guide.</li> </ul>
5. I am aware that the Vice President for Business Affairs and Controller is the Officer for Public Information at UT Arlington.	Procedure 13-1 Access to Records <a href="http://www.uta.edu/policy/procedures/13-1">http://www.uta.edu/policy/procedures/13-1</a>  UTS 139 – Texas Public Information Act <a href="http://www.utsystem.edu/policy/policies/uts139.html">http://www.utsystem.edu/policy/policies/uts139.html</a>  Open Records <a href="http://www.utsystem.edu/openrecords">http://www.utsystem.edu/openrecords</a>  Texas Government Code, Chapter 552, Public Information <a href="http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.552.htm">http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.552.htm</a>	<ul style="list-style-type: none"> <li>Each employee should know that a written request for documents must be relayed immediately to the Vice President for Business Affairs and Controller for handling. Employees receiving verbal inquiries about records should also direct those inquiries to the Vice President for Business Affairs and Controller.</li> </ul>
6. I will notify the Office of Internal Audit when any external agency proposes to audit a specific contract, grant or department activity.		<ul style="list-style-type: none"> <li>The Office of Internal Audit can be reached at 817-272-0150 or <a href="http://www.uta.edu/internalaudit">www.uta.edu/internalaudit</a></li> </ul>
<b>ETHICS AND CONFLICTS OF INTEREST</b>		
7. I understand that I shall not ask or expect an employee to do anything that is in conflict with the law, UT System policy, or UT Arlington policies and procedures.	A Standards of Conduct Guide for Employees <a href="http://www.uta.edu/compliance/pdf/conduct_guide.pdf">http://www.uta.edu/compliance/pdf/conduct_guide.pdf</a>  UT System, Office of General Counsel, Ethics Website <a href="http://www.utsystem.edu/ogc/ethics/homepage.htm">http://www.utsystem.edu/ogc/ethics/homepage.htm</a>	<ul style="list-style-type: none"> <li>As a public servant, you have a responsibility to act as a good steward to the people of Texas in the performance of your official duties.</li> <li>Management personnel are expected to be role models for ethical behavior in their department.</li> </ul>

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<p>8. Employees in my department are aware that conflict of interest should be avoided in all instances of outside or dual employment.</p>	<p>Handbook of Operating Procedures, Section 5-505, Staff Outside Employment  <a href="http://www.uta.edu/policy/hop/adm/5/505">http://www.uta.edu/policy/hop/adm/5/505</a></p> <p>Handbook of Operating Procedures, Subchapter 6-1000, Faculty Outside Employment  <a href="http://www.uta.edu/policy/hop/adm/6/1000">http://www.uta.edu/policy/hop/adm/6/1000</a></p>	<ul style="list-style-type: none"> <li>• As a UT Arlington employee, your first responsibility is to the University of Texas at Arlington and the University of Texas System.</li> <li>• The term “employees” includes all administrative officers, faculty, classified and non-classified staff, professional personnel, and student employees.</li> </ul>
<p>9. Employees in my department are encouraged to discuss any potential conflicts of interest with their supervisor.</p>	<p>Handbook of Operating Procedures, Section 5-508, Conflicts of Interest Policy  <a href="http://www.uta.edu/policy/hop/adm/5/508">http://www.uta.edu/policy/hop/adm/5/508</a></p> <p>UTS110 – Employees of The University of Texas System: Financial Disclosure and Conflict of Interest Statement  <a href="http://www.utsystem.edu/bor/procedures/policy/policies/uts110.html">http://www.utsystem.edu/bor/procedures/policy/policies/uts110.html</a></p> <p>UT System, Office of General Counsel, Ethics Website  <a href="http://www.utsystem.edu/ogc/ethics/homepage.htm">http://www.utsystem.edu/ogc/ethics/homepage.htm</a></p>	<ul style="list-style-type: none"> <li>• Employees may also contact the Compliance and Ethics Officer with any conflict of interest questions at 817-272-3089.</li> </ul>

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<p>10. Employees in my department are aware that prior to any outside board service or outside employment, they must request approval through their supervisor by completing the on-line Outside Board Service and Outside Employment form.</p>	<p>Handbook of Operating Procedures, Section 5-505, Staff Outside Employment  <a href="http://www.uta.edu/policy/hop/adm/5/505">http://www.uta.edu/policy/hop/adm/5/505</a></p> <p>Handbook of Operating Procedures, Subchapter 6-1000, Faculty Outside Employment  <a href="http://www.uta.edu/policy/hop/adm/6/1000">http://www.uta.edu/policy/hop/adm/6/1000</a></p>	<ul style="list-style-type: none"> <li>• You may not use UT Arlington resources (including stationery or business address) in connection with any outside employment.</li> <li>• The Outside Board Service and Outside Employment form is located at <a href="https://webapps.uta.edu/OutsideEmployment">https://webapps.uta.edu/OutsideEmployment</a></li> <li>• Contact University Compliance Services at 817-272-2080 with questions or problems with the form.</li> <li>• The Vice President for Human Resources and the Vice President for Research will review online forms submitted.</li> </ul>
<p>11. I am aware that the Financial Disclosure and Conflict of Interest Statement should be completed on-line by each employee who is a DEFINE account administrator or athletic coach by April 30<sup>th</sup> each year.</p>	<p>UTS110 – Employees of The University of Texas System: Financial Disclosure and Conflict of Interest Statement  <a href="http://www.utsystem.edu/bor/procedures/policy/policies/uts110.html">http://www.utsystem.edu/bor/procedures/policy/policies/uts110.html</a></p>	<ul style="list-style-type: none"> <li>• Account Administrators can ask other employees who are paid from their accounts to complete the Financial Disclosure and Conflict of Interest Statement.</li> <li>• The Financial Disclosure and Conflict of Interest Statement must include information about the employee as well as the employee’s spouse and dependent children.</li> <li>• For purposes of this statement, a child is a “dependent child” if the employee provided more than 50 percent of the child’s support during the preceding calendar year, and includes an adopted child or stepchild.</li> <li>• The Financial Disclosure and Conflict of Interest form is located at <a href="https://webapps.uta.edu/ConflictOfInterest">https://webapps.uta.edu/ConflictOfInterest</a></li> <li>• The Vice President for Human Resources and the Vice President for Research will review all forms submitted.</li> </ul>

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<p>12. Employees in my department are aware that they should cooperate fully with all University inquiries or investigations related to any suspected violations of the laws of the State of Texas, Rules and Regulations of the University of Texas System, and/or the policies of the University of Texas at Arlington or any laws, rules, regulations, or policies affecting the operation of the University.</p>		

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<b>FERPA</b>		
<p>13. I am aware that UT Arlington has a legal obligation to protect the privacy of students and the confidentiality of student records.</p>	<p>FERPA for UTA Faculty and Staff  <a href="http://www.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx">http://www.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx</a></p> <p>UTS 139 – Texas Public Information Act  <a href="http://www.utsystem.edu/policy/policies/uts139.html">http://www.utsystem.edu/policy/policies/uts139.html</a></p> <p>Texas Government Code, Chapter 552, Texas Public Information Act  <a href="http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.552.htm">http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.552.htm</a></p> <p>Texas Government Code, Section 559.003, Right to Notice about Certain Information Laws and Practices  <a href="http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.559.htm#559.003">http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.559.htm#559.003</a></p> <p>Family Educational Rights and Privacy Act (FERPA)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html">http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html</a></p> <p>Family Policy Compliance Office (FPCO)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/index.html">http://www2.ed.gov/policy/gen/guid/fpco/index.html</a></p>	<ul style="list-style-type: none"> <li>• UT Arlington faculty and staff are encouraged to use the greatest precautions in communicating with students regarding their grades and other protected academic data.</li> <li>• A Student should access his/her grades and other academic data through self-service in MyMav (<a href="http://www.uta.edu/mymav">http://www.uta.edu/mymav</a>).</li> <li>• Contact Admissions, Records and Registration at 817-272-3372 with questions or to schedule training for your department.</li> </ul>

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<p>14. I am aware that faculty and staff in my department should have a functional understanding of the key concepts of the Family Educational Rights and Privacy Act of 1974.</p>	<p>FERPA for UTA Faculty and Staff  <a href="http://www.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx">http://www.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx</a></p> <p>Family Educational Rights and Privacy Act (FERPA)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html">http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html</a></p> <p>Family Policy Compliance Office (FPCO)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/index.html">http://www2.ed.gov/policy/gen/guid/fpco/index.html</a></p>	<ul style="list-style-type: none"> <li>• The key concepts include: <ul style="list-style-type: none"> <li>⇒ Student’s right of access to student records, including directory information</li> <li>⇒ Written permission requirement for disclosure of student education record</li> <li>⇒ Parent’s right of access to student records</li> <li>⇒ Exceptions to the written permission requirement</li> <li>⇒ Legitimate educational interest</li> </ul> </li> <li>• Contact Admissions, Records and Registration at 817-272-3372 with questions or to schedule training for your department.</li> </ul>
<p>15. Employees in my department are aware that UT Arlington requires its employees to use safe methods to identify and authenticate the identity of students, parents, school officials and all other parties before disclosing educational records.</p>	<p>FERPA for UTA Faculty and Staff  <a href="http://www.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx">http://www.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx</a></p> <p>Family Educational Rights and Privacy Act (FERPA)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html">http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html</a></p> <p>Family Policy Compliance Office (FPCO)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/index.html">http://www2.ed.gov/policy/gen/guid/fpco/index.html</a></p>	<ul style="list-style-type: none"> <li>• See the FERPA Basics PowerPoint presentation for additional information at <a href="http://www.uta.edu/search/index.php?q=ferpa+basics+powerpoint">http://www.uta.edu/search/index.php?q=ferpa+basics+powerpoint</a></li> <li>• Contact Admissions, Records and Registration at 817-272-3372 with questions or to schedule training for your department.</li> </ul>

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<p>16. Employees in my department are aware that student records supported by websites must have the same level of security and access that non-web-based student records do.</p>	<p>FERPA for UTA Faculty and Staff  <a href="http://wweb.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx">http://wweb.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx</a></p> <p>Procedure 13-1 Access to Records  <a href="http://www.uta.edu/policy/procedure/13-1">http://www.uta.edu/policy/procedure/13-1</a></p> <p>Procedure 13-5 Records and Information Management  <a href="http://www.uta.edu/policy/procedure/13-5">http://www.uta.edu/policy/procedure/13-5</a></p> <p>Information Resources Acceptable Use Policy  <a href="http://www.uta.edu/oit/policies/acceptable-use-info-resources.php">http://www.uta.edu/oit/policies/acceptable-use-info-resources.php</a></p> <p>UTS165 UT System Information Resources Use and Security Policy  <a href="http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html">http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html</a></p> <p>Family Educational Rights and Privacy Act (FERPA)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html">http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html</a></p> <p>Family Policy Compliance Office (FPCO)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/index.html">http://www2.ed.gov/policy/gen/guid/fpco/index.html</a></p>	<ul style="list-style-type: none"> <li>• Only releasable directory information can be available to the general public and other class members.</li> <li>• UT Arlington’s definition of directory information is available on the <a href="#">FERPA for UTA Faculty and Staff</a> website.</li> <li>• Contact Admissions, Records and Registration at 817-272-3372 with questions or to schedule training for your department.</li> </ul>

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<p>17. Employees in my department are aware that they may only email grades to the student's official UT Arlington email address and only to that student.</p>	<p>FERPA for UTA Faculty and Staff  <a href="http://wwweb.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx">http://wwweb.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx</a></p> <p>Family Educational Rights and Privacy Act (FERPA)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html">http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html</a></p> <p>Family Policy Compliance Office (FPCO)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/index.html">http://www2.ed.gov/policy/gen/guid/fpco/index.html</a></p>	<ul style="list-style-type: none"> <li>• So that no protected data is compromised or widely broadcast, use caution when using the delivered email functionality within the MyMav class roster or grade roster to email academic information to students.</li> <li>• A Student should access his/her grades and other academic data through self-service in MyMav (<a href="http://www.uta.edu/mymav">http://www.uta.edu/mymav</a>).</li> <li>• Contact Admissions, Records and Registration at 817-272-3372 with questions or to schedule training for your department.</li> </ul>
<p>18. Employees in my department are aware that the public posting of grades on office, class or departmental doors or bulletin boards, or on the web, which uses the student names or identifiers, including the UTA ID or NetID or any other identifier that would allow a reasonable person in the University community who does not have personal knowledge of the relevant circumstances to identify the student with reasonable certainty, is prohibited under federal law.</p>	<p>FERPA for UTA Faculty and Staff  <a href="http://wwweb.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx">http://wwweb.uta.edu/ses/recordsandregistration/content/faculty_staff/ferpa_for_faculty.aspx</a></p> <p>Family Educational Rights and Privacy Act (FERPA)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html">http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html</a></p> <p>Family Policy Compliance Office (FPCO)  <a href="http://www2.ed.gov/policy/gen/guid/fpco/index.html">http://www2.ed.gov/policy/gen/guid/fpco/index.html</a></p>	<ul style="list-style-type: none"> <li>• A Student should access his/her grades and other academic data through self-service in MyMav (<a href="http://www.uta.edu/mymav">http://www.uta.edu/mymav</a>).</li> <li>• Contact Admissions, Records and Registration at 817-272-3372 with questions or to schedule training for your department.</li> </ul>

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<p>19. I will notify the appropriate University offices in the event of a FERPA incident of non-compliance.</p>		<ul style="list-style-type: none"> <li>Contact Records (Registrar) at 817-272-3372 with questions or to schedule training for your department.</li> </ul>
<b>FISCAL MANAGEMENT</b>		
<b>General</b>		
<p>20. My department has a system for reviewing/reconciling accounts on a monthly basis to determine whether the University's accounting records match my department's records. Appropriate action is taken in the event that errors and/or unauthorized transactions are identified, and all account reviews/reconciliations are dated and signed by the preparer and the reviewer.</p>	<p>Procedure 2-3 Statement of Accounts  <a href="http://www.uta.edu/policy/procedures/2-3">http://www.uta.edu/policy/procedures/2-3</a></p> <p>Regents' Rules Series No: 20501  <a href="http://www.utsystem.edu/bor/rules/20000Series/20501.pdf">http://www.utsystem.edu/bor/rules/20000Series/20501.pdf</a></p>	<ul style="list-style-type: none"> <li>Managers should have a working knowledge of their budgets and DEFINE (UT Arlington's financial accounting system).</li> <li>Implement a departmental system for tracking and reviewing departmental expenditures and revenue. The type of system used may vary depending on the complexity of the department's accounts.</li> <li>If possible, assign different individuals the responsibility for entering data into the departmental system and the responsibility for reconciling the departmental system to DEFINE.</li> <li>Review departmental reconciliations monthly and question unusual or unique transactions or trends.</li> <li>Ensure that errors are corrected immediately.</li> </ul>

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<p>21. My department is structured so that one person does not create, approve, and reconcile transactions. If I do not have the staff to adequately segregate these duties, I understand that as department head I must take a more active role in monitoring my department's accounts.</p>		<ul style="list-style-type: none"> <li>• Proper segregation of duties in a department ensures that no single individual handles all aspects of a transaction or business process, thus reducing the possibility of undetected errors or fraudulent activity.</li> <li>• Ensure that no one person handles all phases of a transaction, e.g., creates, approves, and reconciles.</li> <li>• Employees cannot approve disbursements, including payroll to themselves.</li> <li>• Good segregation of duties is critical to prevent fraud in a cash operation. Having one person in charge of all phases of a cash operation is risky. There should be at least two sets of eyes on every transaction. Ideally you should ensure that the individual responsible for recordkeeping (reconciling cash/checks received to cash register tapes, registration or other income records) is different from the person who has custody of the cash/checks (opens mail, prepares deposit). In small departments this can be a challenge, however there are creative ways to compensate if you cannot fully segregate duties, e.g., have someone outside of the process analyze sales and deposits for reasonableness or monitor for unusual trends.</li> </ul>

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22. I review my department's monthly phone charges.	Procedure 12-4 Long Distance Telephone Usage/Cellular Telephone Usage <a href="http://www.uta.edu/policy/procedures/12-4">http://www.uta.edu/policy/procedures/12-4</a>	<ul style="list-style-type: none"> <li>• Review monthly phone bills and question unusual charges.</li> <li>• Inform employees that university phones should not be used for personal long distance calls. If personal long distance charges are incurred, the university should be reimbursed in a timely manner.</li> <li>• An Extension Detail Report (report) is received from the Telecommunications Office for each employee that made long distance telephone calls in the previous month. Employees should review the report on a monthly basis and each employee should attest that phone calls are business related by signing the report.</li> <li>• The Extension Summary Report summarizes the charges for each extension in the department/unit.</li> </ul>
23. My department reconciles cash and check income records to the deposit documentation.		<ul style="list-style-type: none"> <li>• A department that receives cash and/or checks should have a system in place for recording those receipts, e.g., cash register, check log or cash receipt book.</li> <li>• Cash register tapes, check logs or cash receipt books should be compared to actual deposits on a routine basis to ensure that all income is being deposited.</li> <li>• Income trends should be analyzed to determine whether actual income matches expected income.</li> </ul>

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24. All cash/checks in my department are adequately secured at all times, access is restricted to the extent possible and checks are immediately endorsed when received.		<ul style="list-style-type: none"> <li>• As a minimum requirement, keep cash/checks locked in a drawer or safe at all times.</li> <li>• Establish accountability for cash/checks by limiting access to the key or combination to as few individuals as possible.</li> </ul>
25. Money from all sources received by my department will be deposited in the Bursar's Office on a daily basis if the receipts of cash and/or checks total \$500 or more, and twice a week if these receipts total less than \$500.	<p>Procedure 2-14 Cash and Check Handling  <a href="http://www.uta.edu/policy/procedures/2-14">http://www.uta.edu/policy/procedures/2-14</a></p> <p>UTS 166 – Cash Management and Cash Handling Policy  <a href="http://www.utsystem.edu/bor/procedures/policy/policies/uts166.html">http://www.utsystem.edu/bor/procedures/policy/policies/uts166.html</a></p>	<ul style="list-style-type: none"> <li>• Depositing cash and checks timely is key to reducing the risk of theft and should be a priority when organizing employee's duties.</li> </ul>
<b>Purchasing</b>		
26. Employees designated to procure goods and services for my department attend purchasing training and review procurement policies and procedures prior to placing orders in the system.	<p>Procurement Website  <a href="http://www.uta.edu/policy/bac/buying">http://www.uta.edu/policy/bac/buying</a></p> <p>DEFINE Education Training Manuals  <a href="http://www.uta.edu/policy/bac/training">http://www.uta.edu/policy/bac/training</a></p>	<ul style="list-style-type: none"> <li>• Managers should have a working knowledge of purchasing policies and procedures.</li> <li>• Ensure that employees who perform purchasing duties attend initial purchasing training within 30 days of starting employment. DEFINE Education provides training classes concerning purchasing procedures. DEFINE Education can be reached by calling 817-272-2138 or emailing <a href="mailto:define@uta.edu">define@uta.edu</a>.</li> <li>• Emphasize the importance of following purchasing regulations.</li> <li>• Utilize the UT Arlington Procard for purchases \$2,000 and less including freight (items purchased must comply with Procard regulations).</li> <li>• Notify Procurement when discrepancies or</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
		<p>problems occur with vendors and contractors.</p> <ul style="list-style-type: none"> <li>• Call your Procurement Specialist if you have questions.</li> <li>• Employees are stewards of University funds; therefore, purchases must be business related and consistent with the department's mission.</li> </ul>
<p>27. I understand that Procurement must handle all purchases over \$5,000, unless the purchase is for goods and services that are not to be processed with a purchase order. Orders exceeding \$5,000 should not be split to avoid this dollar requirement.</p>	<p>Procedure 4-2 Best Value Procurement Procedures  <a href="http://www.uta.edu/policy/procedures/4-2">http://www.uta.edu/policy/procedures/4-2</a></p> <p>Procedure 4-26 Reimbursement and Payments Other than for Travel and Purchase Orders  <a href="http://www.uta.edu/policy/procedures/4-26">http://www.uta.edu/policy/procedures/4-26</a></p>	<ul style="list-style-type: none"> <li>• Maintain adequate supporting documentation for all purchases in the event of an audit or other requests for information.</li> <li>• Ensure that employees who initiate and approve transactions are familiar with guidelines and restrictions for different accounts.</li> <li>• Expenditure transactions and related vouchers must be independently reviewed for completeness, accuracy, and compliance with University policies and in agreement with supporting documentation before being approved for payment.</li> <li>• Standardize specifications and requirements for commodities and services where possible.</li> </ul>
<p>28. I understand that when goods are delivered directly to my department, Central Receiving should be notified immediately to ensure that the vendor is paid promptly. I understand that I have three days to verify the items and to notify Central Receiving of any discrepancies whether the goods are delivered directly to my department or via Central Receiving. Otherwise, Accounts Payable will initiate payment for the shipment. I am aware that when</p>	<p>Procedure 2-49 Central Receiving and Central Receiving Services  <a href="http://www.uta.edu/policy/procedures/2-49">http://www.uta.edu/policy/procedures/2-49</a></p> <p>Texas Prompt Payment Act, Texas Government Code, Chapter 2251.025  <a href="http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.2251.htm#2251.025">http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.2251.htm#2251.025</a></p> <p>Prompt Payment Law Interest Rate  <a href="https://fm.cpa.state.tx.us/fm/usas/prompay/rate/index.php">https://fm.cpa.state.tx.us/fm/usas/prompay/rate/index.php</a></p>	<ul style="list-style-type: none"> <li>• Ensure that employees who receive goods in your department are aware that they should notify Central Receiving immediately so that vendors can be paid. Departments may incur monetary penalties under the Prompt Payment Law if vendors aren't paid within 30 days.</li> <li>• If goods delivered to a department are damaged or are not what was ordered, the designated Procurement Specialist and Central Receiving should be contacted immediately. Central Receiving should be notified once the vendor</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>vendors are not paid within 30 days, my department could be subject to interest payments under the Prompt Payment law.</p>		<p>has remedied the situation to your satisfaction so that the vendor can be paid.</p> <ul style="list-style-type: none"> <li>• Ensure that items are inspected and counted prior to signing and dating the receiving report/form from the vendor.</li> <li>• Departments should have a system for tracking outstanding purchase orders, e.g., an internal filing or accounting system.</li> </ul>
<p>29. I am aware of the regulations and restrictions for using the Procard, and ensure that Procards in my department are used for appropriate business related transactions.</p>	<p>Procedure 4-11 Purchasing Card (Procard) Program  <a href="http://www.uta.edu/policy/procedures/4-11">http://www.uta.edu/policy/procedures/4-11</a></p>	<ul style="list-style-type: none"> <li>• Managers should have a working knowledge of Procard policies and procedures.</li> <li>• Managers should be aware of items that cannot be purchased using the Procard and should ensure that cardholders are aware of these items as well. A list of restricted items is included in the <a href="#">Procedure 4-11 Purchasing Card (Procard) Program</a>.</li> <li>• Personal use of a University Procurement card is prohibited.</li> <li>• Ensure that Procard purchases are appropriate for the purposes/mission of the department/unit.</li> <li>• Maintain a log of Procard purchases and retain adequate supporting documentation for all Procard purchases, including Internet purchases, e.g., invoice, packing slip.</li> <li>• Before approving the electronic voucher in DEFINE for Procard purchases, review all transactions to ensure that they are reasonable and appropriate for the department. Unusual transactions should be questioned.</li> <li>• Promote use of the Procard for purchases made over the telephone or the Internet.</li> <li>• Call Procurement at 817- 272-2194 if you have any questions or problems with the Procard.</li> <li>• Ensure that sales tax is not charged on Procard</li> </ul>

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		<p>transactions.</p> <ul style="list-style-type: none"> <li>• Approve the VP7 (electronic voucher) transaction document before the designated date.</li> <li>• Instances of non-compliance with the Procard procedures and/or Procard misuse will be reported to University Compliance Services.</li> <li>• Failure to accurately respond to the Procard certification process will be reported to University Compliance Services.</li> </ul>
<b>HUB</b>		
<p>30. My department is committed to the University's goal of doing business with Historically Underutilized Businesses (HUBs) and will consider HUBs in the process of selecting vendors and contractors.</p>	<p>Procedure 4-28 Contracts with Historically Underutilized Businesses  <a href="http://www.uta.edu/policy/procedures/4-28">http://www.uta.edu/policy/procedures/4-28</a></p> <p>HUB Program Website  <a href="http://www.uta.edu/policy/bac/doing-business">http://www.uta.edu/policy/bac/doing-business</a></p>	<ul style="list-style-type: none"> <li>• Understand that UT Arlington is committed to maximizing the opportunity for HUB firms to provide materials, supplies, equipment and services needed to support the University.</li> <li>• Take steps to ensure HUB vendors are utilized whenever possible on purchases \$5,000 or less.</li> <li>• Use HUB information provided by Procurement to make purchasing decisions.</li> <li>• HUB vendors can be found on the <a href="#">Texas Procurement and Support Services (TPASS) Centralized Master Bidders List (CMBL)</a> .</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<b>Contracted Services and Leases</b>		
<p>31. Employees in my department are aware that they do not have the authority to bind the University to a contract.</p>	<p>Procedure 4-7 Departmental Contract Administration  <a href="http://www.uta.edu/policy/procedures/4-7">http://www.uta.edu/policy/procedures/4-7</a></p> <p>Regent's Rules Series No. 10501  <a href="http://www.utsystem.edu/bor/rules/10000Series/10501.pdf">http://www.utsystem.edu/bor/rules/10000Series/10501.pdf</a></p>	<ul style="list-style-type: none"> <li>• Ensure that contracts comply with UT Arlington, UT System and State policies and procedures.</li> <li>• Ensure that contracts are reviewed and signed by the appropriate authority.</li> <li>• Resources and offices for processing contracts are: <ul style="list-style-type: none"> <li><b>Sponsored programs/projects</b> – Grants and Contracts Administration</li> <li><b>Outgoing sponsored projects</b> – Grants and Contracts Administration</li> <li><b>Purchasing goods and services</b> - Procurement Services</li> <li><b>Construction and related projects</b> – Office of Facilities Management</li> </ul> </li> <li>• Department employees are not authorized to negotiate and execute agreements for contracted services and leases.</li> <li>• Implement a system for monitoring contracts within the department, e.g., a list of those providing contracted services and leases to include at a minimum: supplier name, agreement type, expiration date, and estimated value.</li> <li>• Perform a risk assessment of agreements for contracted services and leases, which takes into account financial impact; student, public, or University sensitivities; strategic importance or other factors as deemed important by the Department Head.</li> <li>• Collect, evaluate, and track supplier performance data considering: teamwork, communication, invoice/billing, supplier responsiveness, quality and service level.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<b>Asset Management</b>		
32. My department conducts an annual inventory of University property.	Procedures 2-43 through 2-74 Asset Management <a href="http://www.uta.edu/policy/procedures">http://www.uta.edu/policy/procedures</a>	<ul style="list-style-type: none"> <li>• Contact Asset Management 817-272-2191 to determine when your department's annual inventory should be conducted.</li> <li>• Ensure that your department designates an Inventory Contact Person (ICP). That individual should contact the Asset Management Office for training. The ICP is a staff member responsible for daily oversight of the department's inventory.</li> <li>• If possible, structure your department so that the ICP does not also have access to inventory records in DEFINE.</li> <li>• Ensure that your department's annual inventory is conducted and review the annual inventory documentation before completing the required annual certification.</li> </ul>
33. My department prepares and maintains the proper inventory forms.	Asset Management Forms (Form Nos. 2-45, 2-47 and 2-49) <a href="http://www.uta.edu/policy/forms/index">http://www.uta.edu/policy/forms/index</a>	<ul style="list-style-type: none"> <li>• Designate an employee(s) to oversee the inventory process.</li> <li>• UT Arlington inventory forms are available in the following categories: <ul style="list-style-type: none"> <li>⇒ Inventory Transaction Form</li> <li>⇒ Removal of Equipment from University Campus</li> <li>⇒ Asset Information Form</li> </ul> </li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>34. In the event that equipment is stolen, I will ensure that my department notifies the University Police Department, Asset Management, and the Information Security Office immediately as required by University policy.</p>	<p>Procedure 2-45 Removal of Property from a Department's Inventory  <a href="http://www.uta.edu/policy/procedures/2-45">http://www.uta.edu/policy/procedures/2-45</a></p> <p>Inventory Transaction Form (Form No. 2-45)  <a href="http://www.uta.edu/policy/forms">http://www.uta.edu/policy/forms</a></p>	<ul style="list-style-type: none"> <li>• Contact the University Police at 817-272-3381 and an officer will complete an Offense/Incident Report.</li> <li>• After contacting University Police, contact Asset Management and complete and submit an Inventory Transaction Form and a copy of the police report.</li> <li>• Send a copy of the Inventory Transaction Form to the Information Security Office at <a href="mailto:security@uta.edu">security@uta.edu</a> or fax: 817-272-2612.</li> </ul>
<p>35. Equipment vulnerable to theft in my department is adequately safeguarded in locked cabinets or locked rooms.</p>	<p>Procedure 2-43 Responsibilities, Inventories, Reporting and Tracking of University Property  <a href="http://www.uta.edu/policy/procedure/2-43">http://www.uta.edu/policy/procedure/2-43</a></p>	<ul style="list-style-type: none"> <li>• Ensure that items such as laptops, projectors, etc. are in locked rooms or cabinets when not in use and limit the number of individuals who have keys/access.</li> </ul>
<p>36. I have informed my employees that they may be held personally liable for lost/stolen equipment if</p> <ul style="list-style-type: none"> <li>• Reasonable care was not exercised in the safekeeping of the equipment;</li> <li>• Reasonable care was not exercised in the maintenance and service of the equipment;</li> <li>• The loss occurred as a result of an intentional wrongful act by a university employee.</li> </ul>	<p>Inventory Management  <a href="http://www.uta.edu/policy/bac/inventory">http://www.uta.edu/policy/bac/inventory</a></p>	<ul style="list-style-type: none"> <li>• Ensure that employees are familiar with rules regarding accountability for university property.</li> </ul>

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<p>37. I am aware that equipment that is taken off campus remains the property of the University and must be returned to the department when no longer used for University business. My department maintains complete records for University-owned equipment that is not on University premises.</p>	<p>Procedure 2-46 Removal of Equipment from the University Premises  <a href="http://www.uta.edu/policy/procedures/2-46">http://www.uta.edu/policy/procedures/2-46</a></p> <p>Removal of Equipment from University Campus Form (Form No. 2-47)  <a href="http://www.uta.edu/policy/forms">http://www.uta.edu/policy/forms</a></p>	<ul style="list-style-type: none"> <li>• A Removal of Equipment from University Campus Form (Removal Form) must be completed before any University property can be removed from University premises. The form requires the signatures of the employee who will be responsible for the equipment while it is off campus and the appropriate department chair or director. If the employee who is completing the Removal Form is also the department chair or director, etc., the Removal Form should be approved by the individual to whom the employee reports.</li> </ul>
<b>GIFTS</b>		
<p>38. All gifts received by my department are forwarded to the Development Office within 24 hours of receipt accompanied by a completed gift record form and all other correspondence or documents related to the gift. Additionally, cash gifts require the blue copy of the cash receipt from the department.</p>	<p>Procedure 2-8, Gifts to the University  <a href="http://www.uta.edu/policy/procedures/2-8">http://www.uta.edu/policy/procedures/2-8</a></p> <p>Regent's Rules Series No. 60101  <a href="http://www.utsystem.edu/bor/rules/60000Series/60101.pdf">http://www.utsystem.edu/bor/rules/60000Series/60101.pdf</a></p>	<ul style="list-style-type: none"> <li>• Review information on UT Arlington's <a href="#">Development Office</a> website.</li> <li>• Managers should have a working knowledge of gift policies in the University's Policies and Procedures and Regents' Rules (see web links provided).</li> <li>• Ensure that designated employees know where to find and how to fill out the <a href="#">gift record form</a> (Form 20-1)</li> <li>• Ensure that employees know contact information for the UT Arlington <a href="#">Development Office</a>.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>39. Each donor to my department receives an acknowledgment letter thanking them and/or expressing appreciation for his or her gift and a copy is forwarded to the Development Office. Additionally, letters acknowledging gifts-in-kind should only include a description of the item(s) donated, not the value of the gift.</p> <p>The Development Office coordinates the IRS receipts and thank you letters from the President and Vice President of Development.</p>	<p>Procedure 2-8, Gifts to the University  <a href="http://www.uta.edu/policy/procedures/2-8">http://www.uta.edu/policy/procedures/2-8</a></p>	<ul style="list-style-type: none"> <li>• Have a written policy for your unit/department regarding how to thank donors and express appreciation.</li> <li>• Designate someone in your department to coordinate the thank-you process.</li> <li>• Ensure that employees have a copy of the procedures for acknowledging and thanking donors.</li> <li>• Keep samples/templates of letters.</li> <li>• Contact the UT Arlington <a href="#">Development Office</a> if you have questions.</li> </ul>
<p>40. My department has a system in place to keep track of all gift and endowment accounts for which we are responsible and maintains current files for them.</p>	<p>Procedure 2-6, Endowment Establishment and Management  <a href="http://www.uta.edu/policy/procedures/2-6">http://www.uta.edu/policy/procedures/2-6</a></p> <p>Procedure 2-8, Gifts to the University  <a href="http://www.uta.edu/policy/procedures/2-8">http://www.uta.edu/policy/procedures/2-8</a></p>	<ul style="list-style-type: none"> <li>• Designate an employee to manage gift and endowment accounts.</li> <li>• Have written procedures on managing gift and endowment accounts.</li> <li>• Keep files current, organized, easily identifiable, and readily accessible.</li> <li>• Ensure that copies of appropriate documentation are in the files. Included should be copies of the Gift Record Form, any correspondence from the donor, check, and department chair/director's acknowledgment letter. (All original documentation is forwarded to the Development Office.)</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>41. My department has a system in place to document that expenditures from gift and endowment accounts comply with the donor's intentions.</p>		<ul style="list-style-type: none"> <li>• Designate an employee to manage gift and endowment accounts.</li> <li>• Document policies/procedures for expenditures including donor's intentions for each gift and endowment account.</li> <li>• Ensure that employees know policies and procedures regarding appropriate expenditures.</li> <li>• Prior to approving expenditures from gift and endowment accounts, ensure that the expenditure is in compliance with the donor's intentions.</li> </ul>

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<b>HUMAN RESOURCES</b>		
<p>42. I complete and document annual performance evaluations for all department employees.</p>	<p>Procedure 3-25, Performance Management Review  <a href="http://www.uta.edu/policy/procedures/3-25">http://www.uta.edu/policy/procedures/3-25</a></p>	<ul style="list-style-type: none"> <li>• Every supervisor is expected to conduct an annual performance evaluation for all regular Classified and Administrative and Professional employees that report to them. Performance Review Forms are available on the <a href="#">Forms/Exhibits Index</a> (Form 3-82).</li> <li>• Evaluations should be completed each year during the month of March. The period of the evaluations should be January 1<sup>st</sup> through December 31<sup>st</sup> of the previous year.</li> <li>• The original evaluation form remains in the Administrative Unit. A complete copy of the evaluation form should be provided to the Office of Human Resources and to the employee.</li> <li>• The Performance Management Form for New Employees should be used to evaluate newly appointed classified staff during the first six months of employment. The form is available on the <a href="#">Forms/Exhibits Index</a> (Form 3-82). An evaluation should be conducted on the 90<sup>th</sup> and 180<sup>th</sup> day of employment. Results of these evaluations should be the basis for retention or release of the employee. The original 180-day evaluation form remains in the Administrative Unit. A complete copy of the evaluation form should be provided to the Office of Human Resources and to the employee. The New Employee Performance Review Form is used.</li> <li>• Develop performance goals for all positions (you</li> </ul>

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		<p>may consult with your employees when developing expectations for the position).</p> <ul style="list-style-type: none"> <li>• Communicate the expectations for the position to the employee upon hiring and at the onset of the evaluation period.</li> <li>• In evaluating an employee, consider the employee's performance in the position in relation to the goals previously set by the supervisor.</li> </ul>
<p>43. My department records hours worked on time sheets or time cards for non-exempt employees.</p>	<p>Payroll Services Website  <a href="http://www.uta.edu/policy/bac/payroll">http://www.uta.edu/policy/bac/payroll</a></p> <p>Monthly Employee Time Record (1-5A)  <a href="http://www.uta.edu/policy/forms/">http://www.uta.edu/policy/forms/</a></p> <p>Hourly Employee Time Record (1-5B)  <a href="http://www.uta.edu/policy/forms/">http://www.uta.edu/policy/forms/</a></p> <p>Time Record Codes (1-5C)  <a href="http://www.uta.edu/policy/forms">http://www.uta.edu/policy/forms</a></p> <p>Payroll Processing Dates  <a href="http://www.uta.edu/policy/bac/payroll/dates">http://www.uta.edu/policy/bac/payroll/dates</a></p> <p>Human Resources Website  <a href="http://www.uta.edu/hr">http://www.uta.edu/hr</a></p>	<ul style="list-style-type: none"> <li>• Timesheets/cards should be used to record hours worked for hourly employees.</li> <li>• Timesheets/cards should be signed and dated by the employee and supervisor and kept on file in the department for fiscal year end plus three years.</li> <li>• Hourly employees are generally paid on a semi-monthly basis. Ensure that the electronic payroll voucher (OV1) is created and approved by the payroll deadline on the <a href="#">payroll calendar</a>.</li> </ul>

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<p>44. My department has procedures to ensure that overtime and other non-standard work hours are appropriate and approved in advance by a supervisor.</p>		<ul style="list-style-type: none"> <li>• Give employees advance notice whenever possible that they will be working non-standard or overtime hours.</li> <li>• Develop a departmental procedure for requests to work additional or nonstandard hours (explanation for supervisor, supervisor's approval, etc.) and keep copies of documentation.</li> </ul>
<p>45. My department has a system to manage employee leave that achieves the following:</p> <ul style="list-style-type: none"> <li>• Employee workdays are monitored and leave balances are routinely reviewed by someone in their management chain.</li> <li>• Vacation, sick leave, and compensatory time balances are reconciled and entered into DEFINE on a monthly basis.</li> <li>• Leave balances (vacation, sick, and compensatory) are communicated to employees on a monthly basis.</li> <li>• The monthly Vacation &amp; Sick Leave Report reflecting the prior months leave activity is submitted to HR by the 15<sup>th</sup> of each month.</li> </ul>		<ul style="list-style-type: none"> <li>• Ensure that department keeps copies of appropriate documentation/records.</li> <li>• Encourage employees to review their individual reports for accuracy.</li> </ul>

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<p>46. I am aware that all qualified job applicants should be considered and that there is a process to determine the best qualified applicant for the position.</p>	<p>Procedure 3-3, Employment Procedures  <a href="http://www.uta.edu/policy/procedures/3-3">http://www.uta.edu/policy/procedures/3-3</a></p>	<ul style="list-style-type: none"> <li>• A set of interview questions (that are job related) should be prepared in advance of the interviews.</li> <li>• Interview questions should be designed to permit a fair and objective evaluation of each applicant and consist of objective, job-related inquiries.</li> <li>• The interview questions should be reviewed by the Office of Human Resources prior to the hiring department conducting the interview.</li> <li>• Each applicant should be asked the same questions; all responses should be recorded in writing.</li> <li>• The matrix, questions and responses should be forwarded to the Office of Human Resources when a hiring decision is made.</li> <li>• A criminal background check (CBC) must be conducted on all internal and external job applicants under final consideration for a position.</li> <li>• A CBC must also be conducted on all summer camp employees, temporary employees, independent contractors, volunteers, and interns.</li> <li>• A CBC should also be conducted on a contractor's employees who are assigned to perform work on UT Arlington property if deemed necessary by the Office of Facilities Management in consultation with the Chief of Police.</li> </ul>

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<p>47. I am aware that an Employee Clearance Form must be completed and submitted to Human Resources for all employees.</p>	<p>Procedure 3-24, Employee Separation and Clearance Process  <a href="http://www.uta.edu/policy/procedures/3-24">http://www.uta.edu/policy/procedures/3-24</a></p>	<ul style="list-style-type: none"> <li>• The Employee Clearance form must be completed on-line.</li> <li>• The employee must deliver a hard copy of this form to the Key Control Office, the Parking Office and the Central Library. After these departments sign off on the Clearance Form, the employee must return the form to the employing department for final signature.</li> <li>• The department will send the Clearance Form to Human Resources for retention after all signatures have been obtained.</li> <li>• An employee's appointment will also need to be terminated in HRMS, even if it has previously expired.</li> <li>• Contact Employee Relations at 817-272-5554 with questions.</li> </ul>
<p>48. The Notice of Voluntary Service Form must be completed and forwarded to Human Resources for approval prior to a volunteer appointment.</p>	<p>Procedure 3-44, Volunteer Service  <a href="http://www.uta.edu/policy/procedures/3-44">http://www.uta.edu/policy/procedures/3-44</a>   <a href="http://www.uta.edu/policy/forms">Notice of Voluntary Service (Form 3-8)</a>  <a href="http://www.uta.edu/policy/forms">http://www.uta.edu/policy/forms</a></p>	<ul style="list-style-type: none"> <li>• All volunteers must submit to a Criminal Background Check.</li> <li>• A volunteer whose appointment has expired must be reappointed before continuing in the volunteer service.</li> <li>• Volunteers are not covered under The University of Texas System Workers' Compensation Insurance programs.</li> <li>• Individuals appointed to volunteer positions are not eligible to participate in any employee benefits program administered by The University of Texas at Arlington.</li> <li>• University ID cards will not be issued for volunteer service.</li> <li>• Contact Employee Relations at 817-272-5554 with questions.</li> </ul>

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<p>49. In the event that ethical or legal concerns are raised by employees or students, I ensure that they are referred to the appropriate office for handling.</p>	<p>UT Arlington Standards of Conduct Guide for Employees  <a href="http://www.uta.edu/compliance/pdf/conduct_guide.pdf">http://www.uta.edu/compliance/pdf/conduct_guide.pdf</a></p>	<ul style="list-style-type: none"> <li>• Encourage employees to bring questions or observations of unethical activity to their supervisor. Supervisors should direct employees to the appropriate offices listed in the <a href="#">UT Arlington Standards of Conduct Guide for Employees</a>.</li> <li>• Inform employees that they can report suspected issues of non-compliance anonymously through the Ethics Hotline 1-877-507-7314. More information about the hotline is available on the <a href="#">University Compliance Services</a> website.</li> </ul>
<p>50. I ensure and maintain documentation showing that all instructors of record possess the academic preparation, training, and experience to teach in an academic setting and meet the minimum requirements of accrediting bodies and state agencies.</p>	<p>Handbook of Operating Procedures, Chapter 6 Faculty Matters  <a href="http://www.uta.edu/policy/hop/adm/6/550">http://www.uta.edu/policy/hop/adm/6/550</a></p>	<ul style="list-style-type: none"> <li>• Complete a “Certification of Credentials and Qualifications” form each semester for all new faculty hires (tenured, non-tenured and Graduate Teaching Assistants (GTAs) who are assigned as instructor of record for a credit-bearing course) and forward the form to the appropriate administrators for approval and recording.</li> <li>• Ensure that faculty transcripts from foreign universities are sent to the Office of Institutional Research, Planning, and Effectiveness for evaluation of equivalency of U.S. degrees.</li> <li>• Ensure that the educational background and experience of faculty whose qualifying degree is from a non-regionally accredited institution in the U.S. are evaluated by the Chair and approved by the Dean and Provost Office.</li> <li>• Maintain faculty files for all instructors of record containing appropriate documentation of credentials including:</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
		<ul style="list-style-type: none"> <li>⇒ An official transcript (as defined in the <a href="#">Handbook of Operating Procedures, Chapter 6 Faculty Matters</a>) for the degree that qualifies the individual to teach the courses assigned (usually the highest degree earned).</li> <li>⇒ In cases where the highest (or qualifying) degree was awarded by a foreign university or school, a report verifying the equivalency to a U.S. degree. See <a href="#">Handbook of Operating Procedures, Chapter 6 Faculty Matters</a> for additional information.</li> <li>⇒ For individuals justified to teach certain courses on the basis of qualifications other than degrees earned, a curriculum vitae, current within the last two years, detailing the other relevant qualifications such as licenses/certifications, honors/awards, and related research or work experience in the field.</li> <li>⇒ As requested in special cases, other documentation such as letters from employers verifying related professional experience or course evaluations verifying excellence in teaching.</li> </ul>
<p>51. I ensure and maintain documentation showing that Graduate Teaching Assistants listed as instructors of record for credit-bearing courses have completed at least 18 graduate credit hours in the teaching discipline.</p>		<ul style="list-style-type: none"> <li>• For cases in which the 18 hours were earned at UT Arlington, ensure that a screen-shot of the electronic version of the transcript is obtained.</li> <li>• For relevant graduate hours earned at other universities, contact the Provost Office to request a search of the GTAs application file for an official transcript.</li> <li>• If the Graduate School does not have the requested transcript, ensure that the GTA obtains the necessary document from their previous institution.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
52. I ensure and maintain documentation showing that all GTAs are under the direct supervision of faculty members experienced in the teaching discipline, receive regular in-service training, and are periodically evaluated.		<ul style="list-style-type: none"> <li>• Develop and maintain written procedures describing how these procedures are implemented in the department.</li> </ul>
<b>EQUAL OPPORTUNITY SERVICES</b>		
53. I am aware that sexual harassment and sexual misconduct in any form will not be tolerated and such conduct will be subject to disciplinary action.	<p>Procedure, 14-2, Equal Opportunity Policy Statement  <a href="http://www.uta.edu/policy/procedures/14-2">http://www.uta.edu/policy/procedures/14-2</a></p> <p>Procedure 14-1, Sexual Harassment, Sexual Misconduct, and Consensual Relationships Policy  <a href="http://www.uta.edu/policy/procedures/14-1">http://www.uta.edu/policy/procedures/14-1</a></p> <p>Handbook of Operating Procedures, Section ADM 5-503, Non-Discrimination Policy  <a href="http://www.uta.edu/policy/hop/adm/5/503">http://www.uta.edu/policy/hop/adm/5/503</a></p> <p>Handbook of Operating Procedures, Section ADM 5-504, Nondiscrimination Policy on Sexual Orientation  <a href="http://www.uta.edu/policy/hop/adm/5/504">http://www.uta.edu/policy/hop/adm/5/504</a></p> <p>Equal Opportunity Services Website  <a href="http://www.uta.edu/eos">http://www.uta.edu/eos</a></p>	<ul style="list-style-type: none"> <li>• Recognize that sexual harassment includes unwelcome verbal and physical conduct that interferes with an individual's work performance or creates an intimidating, hostile or offensive work environment. Sexual harassment may include telling sexually explicit jokes, making inappropriate comments, or sending inappropriate text messages or emails that contain jokes, pictures, or videos of a sexual nature.</li> <li>• A workplace in which consistent offensive conduct occurs can constitute a hostile work environment, even if some people are not offended by the behavior.</li> <li>• One inappropriate joke may not meet the legal Threshold of a hostile environment. However, a workplace can easily develop into a culture that tolerates inappropriate conduct if it is not immediately identified and promptly addressed. This conduct has the potential to: negatively impact the work environment, minimize the level of acceptable standards of professional conduct and create an erroneous sense of comfort that results in behavior that violates university policy.</li> <li>• Set expectations and communicate them to your employees. Remind employees about the sexual harassment policy and procedures at appropriate forums, such as faculty or staff meetings.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
		<ul style="list-style-type: none"> <li>• Encourage employees to visit the Human Resources website to review the policies on <a href="#">sexual harassment, sexual misconduct, and consensual relationships</a>.</li> <li>• Ensure that you comply with the sexual harassment policies and procedures by no initiating actions, participating in discussions, or condoning actions or discussions by choosing to remain silent.</li> </ul>
<p>54. I am aware of the different types of discrimination and that any form of discrimination, including sexual orientation, is prohibited pursuant to university policy.</p>	<p>Procedure 14-2, Equal Opportunity Policy Statement  <a href="http://www.uta.edu/policy/procedures/14-2">http://www.uta.edu/policy/procedures/14-2</a></p> <p>Procedure 14-1, Sexual Harassment, Sexual Misconduct, and Consensual Relationships  <a href="http://www.uta.edu/policy/procedures/14-1">http://www.uta.edu/policy/procedures/14-1</a></p> <p>Handbook of Operating Procedures, Section ADM 5-503: Non-Discrimination Policy  <a href="http://www.uta.edu/policy/hop/adm/5/503">http://www.uta.edu/policy/hop/adm/5/503</a></p> <p>Handbook of Operating Procedures, Section ADM 5-504: Nondiscrimination Policy on Sexual Orientation  <a href="http://www.uta.edu/policy/hop/adm/5/504">http://www.uta.edu/policy/hop/adm/5/504</a></p> <p>Equal Opportunity Services Website  <a href="http://www.uta.edu/eos">http://www.uta.edu/eos</a></p> <p>United States Equal Employment Opportunity Commission  <a href="http://www.eeoc.gov">http://www.eeoc.gov</a></p>	<ul style="list-style-type: none"> <li>• UT Arlington prohibits discrimination in all areas of employment, including recruitment, hiring, training, assignments, and promotion.</li> <li>• Employment discrimination occurs if it is based on race, color, religion, sex, national origin, age, disability, veteran status, or sexual orientation.</li> <li>• Recognize your role and responsibilities as a manager to take immediate action to prevent discrimination, including: <ul style="list-style-type: none"> <li>⇒ Examining your own behavior and making sure you lead by example.</li> <li>⇒ Identifying early signs of unprofessional behavior that may require preventive measures.</li> <li>⇒ Identifying specific behaviors requiring proactive measures or immediate intervention.</li> </ul> </li> <li>• Examples of employment discrimination include: <ul style="list-style-type: none"> <li>⇒ Disparate Treatment: treating one employee differently than another.</li> <li>⇒ Disparate Impact: any employment practice no matter what the intent, if it has a disparate impact on members of a protected class, which includes women, minorities, the disabled, veterans, and persons over 40 years old.</li> </ul> </li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>55. When someone reports an incident of sexual harassment or discrimination to me, I will report the incident to Equal Opportunity Services (EOS) and advise them to contact EOS immediately</p>	<p>Procedure 14-2, Equal Opportunity Policy Statement  <a href="http://www.uta.edu/policy/procedures/14-2">http://www.uta.edu/policy/procedures/14-2</a></p> <p>Procedure 14-1, Sexual Harassment, Sexual Misconduct and Consensual Relationships  <a href="http://www.uta.edu/policy/procedures/14-1">http://www.uta.edu/policy/procedures/14-1</a></p> <p>Handbook of Operating Procedures, Section ADM 5-503: Non-Discrimination Policy  <a href="http://www.uta.edu/policy/hop/adm/5/503">http://www.uta.edu/policy/hop/adm/5/503</a></p> <p>Handbook of Operating Procedures, Section ADM 5-504: Nondiscrimination Policy on Sexual Orientation  <a href="http://www.uta.edu/policy/hop/adm/5/504">http://www.uta.edu/policy/hop/adm/5/504</a></p> <p>Equal Opportunity Services Website  <a href="http://www.uta.edu/eos">http://www.uta.edu/eos</a></p>	<ul style="list-style-type: none"> <li>The Office of Equal Opportunity Services takes all reports of discrimination seriously. As such, it is imperative that alleged discrimination be reported in a timely manner.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>56. I am aware that complaints of sexual harassment and/or discrimination should be filed as soon as possible after the conduct giving rise to the complaint.</p>	<p>Procedure 14-2, Equal Opportunity Policy Statement  <a href="http://www.uta.edu/policy/procedures/14-2">http://www.uta.edu/policy/procedures/14-2</a></p> <p>Procedure 14-1, Sexual Harassment, Sexual Misconduct and Consensual Relationships  <a href="http://www.uta.edu/policy/procedures/14-1">http://www.uta.edu/policy/procedures/14-1</a></p> <p>Handbook of Operating Procedures, Section ADM 5-503: Non-Discrimination Policy  <a href="http://www.uta.edu/policy/hop/adm/5/503">http://www.uta.edu/policy/hop/adm/5/503</a></p> <p>Handbook of Operating Procedures, Section ADM 5-504: Nondiscrimination Policy on Sexual Orientation  <a href="http://www.uta.edu/policy/hop/adm/5/504">http://www.uta.edu/policy/hop/adm/5/504</a></p> <p>Equal Opportunity Services Website  <a href="http://www.uta.edu/eos">http://www.uta.edu/eos</a></p>	<ul style="list-style-type: none"> <li>• Review information on the Office of Equal Opportunity Services website. Advise employees to review the site and make note of the contact names and numbers.</li> <li>• The Office of Equal Opportunity Services has a responsibility to ensure our campus environment remains free of discrimination.</li> <li>• The Office of equal Opportunity Services has a responsibility to: accept all reports of discrimination, determine the appropriate method of investigation and recommend action to resolve the matter in compliance with the policy.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<b>ENVIRONMENTAL HEALTH AND SAFETY</b>		
<p>57. I ensure that departmental activities are in compliance with the rules, regulations, and best practices relating to occupational health, safety and the environment to include: use and disposal of hazardous chemicals, radioisotopes, and biological agents; proper preventative measures for maintaining equipment and facilities in safe working order for all my employees, students and visitors; and keeping my work area in compliance with NFPA 101 – Life Safety Code as mandated by the Texas State Fire Marshal’s Office and UT System.</p>	<p>Environmental Health and Safety (EH&amp;S) Office Website  <a href="http://www.uta.edu/campus-ops/ehs">http://www.uta.edu/campus-ops/ehs</a></p> <p>Environmental Health and Safety Procedures, 8-1 through 8-8  <a href="http://www.uta.edu/policy/procedure/index/ehs">http://www.uta.edu/policy/procedure/index/ehs</a></p>	<ul style="list-style-type: none"> <li>• Inform your employees that policies and safety manuals governing health and safety are referenced on the website for <a href="#">Environmental Health and Safety Office</a>.</li> <li>• Ensure that researchers review the <a href="#">Research Checklist: Regulatory Requirements</a> document prior to beginning laboratory research.</li> <li>• Ensure that all hazardous waste is properly labeled, prepared for disposal, and picked up by EH&amp;S.</li> <li>• Notify EH&amp;S before a laboratory is vacated or renovated so that arrangements can be made to store or dispose of hazardous materials and so the area can be approved for renovation or reoccupation.</li> </ul>
<p>58. I ensure that employees under my supervision attend safety related training courses mandated by the UT Arlington Environmental Health and Safety Office, State of Texas and federal regulations to include: the Texas Hazard Communication Act, Radiation Control Program, UT Arlington Radioactive Material License, and TX Bloodborne Pathogen Rule; and federal Resource and Recovery Act (RCRA) regulations governing hazardous waste operations.</p>	<p>Environmental Health and Safety (EH&amp;S) Office Website  <a href="http://www.uta.edu/campus-ops/ehs">http://www.uta.edu/campus-ops/ehs</a></p>	<ul style="list-style-type: none"> <li>• Ensure that employees attend the Hazard Communications Training prior to working with hazardous chemicals or toxins.</li> <li>• Ensure that employees attend radiation or laser safety training prior to working with radioactive materials, radiation producing machines or class 3b or 4 lasers.</li> <li>• Ensure that employees who may be exposed to human blood, cells, tissues and body fluids attend initial Bloodborne Pathogens training, are offered the HBV Vaccine, and the annual refresher training.</li> <li>• Ensure that employees working with biological</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
		<p>agents or recombinant DNA in laboratories attend Hazard Communication and Bloodborne Pathogens training.</p> <ul style="list-style-type: none"> <li>• Training is mandated by the following rules and regulations: TX Department of State Health Services (TDSHS) in the Texas Hazard Communication Act, TDSHS Radiation Control Program – Radioactive Material License for UT Arlington and TX Bloodborne Pathogen Rule; and federal RCRA regulations governing hazardous waste operations.</li> </ul>
<p>59. I am responsive to any safety, health or environmental related concerns raised by faculty, staff, or students. I report all employee accidents, injuries, and exposures to hazardous agents to EH&amp;S, even if not formally reported by the employee, but known by me. I maintain contact with employees who have lost time due to injuries and encourage them to return to work within the scope of restrictions placed upon them by authorized treating physicians.</p>	<p>Environmental Health and Safety (EH&amp;S) Office Website  <a href="http://www.uta.edu/campus-ops/ehs">http://www.uta.edu/campus-ops/ehs</a></p> <p>Environmental Health and Safety Procedures, 8-1 through 8-8  <a href="http://www.uta.edu/policy/procedure/index/ehs">http://www.uta.edu/policy/procedure/index/ehs</a></p>	<ul style="list-style-type: none"> <li>• Contact the Environmental Health and Safety Office at 817-272-2185 if there are any concerns or questions.</li> <li>• Refer to the EH&amp;S Office for specific contact persons and information and forms for reporting injuries or exposures, and the UT Arlington Return to Work Program.</li> <li>• Written notification must be made to EH&amp;S Workers Compensation Section within 24 hours after an employee has reported or sustained a work related illness or injury.</li> <li>• Contact UT Arlington Police Department at “2-3003” or “9-911” for emergencies.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<b>UNIVERSITY POLICE</b>		
60. In the event of a crime, emergency, or dangerous or potentially harmful event, I will report the incident to the University Police immediately.	University Police Department <a href="http://www.uta.edu/police">http://www.uta.edu/police</a>	<ul style="list-style-type: none"> <li>• Dial 2-3003 (emergency number) or 2-3381 (non-emergency number) on any campus phone to reach the University Police.</li> <li>• Ensure that a list of essential phone numbers and contact persons is available and can be easily accessed by all employees.</li> <li>• All employees should know that the University Police Department is located at 700 S. Davis Street.</li> <li>• Information regarding reporting crimes and hazards can be found on the <a href="#">University Police Department</a> website.</li> </ul>
61. I would contact the University Police if I suspected illegal activity.	University Police Department <a href="http://policy.uta.edu/index.php?navid=17492">http://policy.uta.edu/index.php?navid=17492</a>  Silent Witness Form <a href="http://www.uta.edu/campus-ops/police/forms/silent-witness.php">http://www.uta.edu/campus-ops/police/forms/silent-witness.php</a>	<ul style="list-style-type: none"> <li>• Dial 2-3381 on any campus phone to reach the University Police.</li> <li>• If an individual wishes to remain anonymous, he/she may also use the <a href="#">Silent Witness Form</a> to report suspicious activity.</li> <li>• Ensure that a list of essential phone numbers and contact persons is available and can be easily accessed by all employees.</li> <li>• Information regarding reporting crimes and hazards can be found on the <a href="#">University Police Department</a> website.</li> </ul>
<b>KEY AND CARD ACCESS</b>		
62. In the event of lost or stolen keys, I would report the incident immediately to the University Police.	Key Control Services <a href="http://www.uta.edu/campus-ops/police/key-control.php">http://www.uta.edu/campus-ops/police/key-control.php</a>  Procedure 6-15, Key and Lock Control <a href="http://www.uta.edu/policy/procedures/6-15">http://www.uta.edu/policy/procedures/6-15</a>	<ul style="list-style-type: none"> <li>• Managers should be aware of the policies regarding key and lock control.</li> <li>• Managers should ensure that their employees know and adhere to the University's policy on keys and access to university facilities.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
63. I request keys for a new employee by completing the online Key Request form and submitting it to Key Control Services.	Key Request Form <a href="http://www.uta.edu/policy/form">http://www.uta.edu/policy/form</a>	<ul style="list-style-type: none"> <li>• All employees should know that the Key Control Services is located in the J.D. Wetsel Building, Suite 112 and can be contacted at 817-272-2209.</li> <li>• They Key Request Issuance and Receipt form can be found on the <a href="#">Forms/Exhibits Index, Form 6-3</a>.</li> </ul>
<b>EMERGENCY PREPAREDNESS</b>		
64. I have informed my employees of emergency evacuation procedures for conditions that include: fire emergency; bomb/suspicious person threats; hazardous substance release – chemical, radioactive and biological; and severe weather conditions.	<p>Emergency Management <a href="http://www.uta.edu/campus-ops/police/emergency-management">http://www.uta.edu/campus-ops/police/emergency-management</a></p> <p>Fire/Life Safety <a href="http://www.uta.edu/campus-ops/ehs/fire">http://www.uta.edu/campus-ops/ehs/fire</a></p> <p>Environmental Health and Safety Office <a href="http://www.uta.edu/campus-ops/ehs/index.php">http://www.uta.edu/campus-ops/ehs/index.php</a></p> <p>Evacuation Procedures</p> <p>Procedure 7-6, Emergency/Fire Evacuation Procedures <a href="http://www.uta.edu/policy/procedures//7-6">http://www.uta.edu/policy/procedures//7-6</a></p> <p>Campus Safety Plan <a href="http://www.uta.edu/campus-ops/ehs/campus-safety">http://www.uta.edu/campus-ops/ehs/campus-safety</a></p>	<ul style="list-style-type: none"> <li>• Managers should ensure that their employees are familiar with emergency procedures.</li> <li>• Ensure that a list of essential phone numbers and contact persons is available and can be easily accessed by all employees.</li> <li>• All faculty members should have student rosters with them if they are asked to evacuate the room/building. This is critical for assisting the Police once the building is evacuated.</li> <li>• Communicate the designated location outside the room/building to gather for an accountability check to students and employees.</li> <li>• Do not return to the room/building until you are given the “ok” by the chain of command.</li> <li>• Know your Department Safety Liaison (DSL). Managers can contact the Environmental Health and Safety Office at 817-272-2185 to obtain the name of their DSL.</li> <li>• Communicate to employees that all evacuations should be taken seriously.</li> <li>• Have a plan for helping employees who need additional assistance in an evacuation.</li> <li>• Report missing individuals to your DSL or</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
	<p>Emergency Procedures Quick Reference Guide  <a href="http://www.uta.edu/police/EMERGENCY%20PLAN.pdf">http://www.uta.edu/police/EMERGENCY%20PLAN.pdf</a></p>	<p>Police Officers at the scene and ensure that faculty members stay with their class.</p>
<p>65. I have informed faculty and staff in my department of the general information about an intruder on campus.</p>		<ul style="list-style-type: none"> <li>• If you are notified by the campus alert system, text message, or by UT Arlington Police of an intruder on campus, and you are in a room and told to shelter, please take the following actions: <ul style="list-style-type: none"> <li>⇒ Lock the door, if possible.</li> <li>⇒ Barricade the door if you cannot lock it. Use desks, chairs, and other items to deny entry.</li> <li>⇒ Turn off the lights.</li> <li>⇒ Ask students to sit on the floor away from the door and out of view with objects such as desks, chairs or other barriers between them and the door.</li> <li>⇒ Identify a second person who has a cellular telephone to support you in your efforts. Ask them to dial 911 or campus police (817-272-3003) to inform them of your location and situation. Please be aware that the system may be flooded with calls so continue to try if you cannot get through.</li> <li>⇒ Ask everyone to turn off or silence their electronic devices so as not to alert the intruder.</li> </ul> </li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
		<p>⇒ Do NOT leave your room unless instructed to do so. Commands will be to shelter in place or to evacuate. If you shelter in place, be prepared for an extended stay depending on the incident. Commands will be given through the campus PA system and other official means to avoid confusion.</p>
<p>66. I have informed faculty and staff in my department of the general information about a student that you may believe has a need for mental health support.</p>	<p>Behavior Intervention Team  <a href="http://www.uta.edu/studentaffairs/bit">http://www.uta.edu/studentaffairs/bit</a></p>	<ul style="list-style-type: none"> <li>• The presence of demonstrated distress, disruptive or dangerous student behavior can be a predictor of future harm to self, others and the larger UT Arlington community. Please report this level of behavior to the Behavior Intervention Team (BIT) at 817-272-0337 or 817-272-1009 for evaluation by mental health professionals.</li> </ul>
<p>67. I know who my Department Safety Liaison (DSL) is and have provided that information to the faculty and staff in my department.</p>		<ul style="list-style-type: none"> <li>• Know your DSL. Managers can contact the Environmental Health and Safety Office at 817-272-2185 to obtain the name of their Liaison.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>68. If I become aware of any suspicious packages or devices, I will contact the University Police immediately.</p>	<p>FBI Advisory on Suspicious Packages  <a href="http://www.fbi.gov/news/stories/2006/september">http://www.fbi.gov/news/stories/2006/september</a></p> <p>Suspicious Mail or Packages  <a href="http://www.uta.edu/campus-ops/police/docs/suspicious-mail.pdf">http://www.uta.edu/campus-ops/police/docs/suspicious-mail.pdf</a></p> <p>Emergency Procedures Quick Reference Guide  <a href="http://www.uta.edu/police/EMERGENCY%20PLAN.pdf">http://www.uta.edu/police/EMERGENCY%20PLAN.pdf</a></p>	<ul style="list-style-type: none"> <li>Review with employees the <a href="#">FBI Advisory on Suspicious Packages</a> .</li> </ul>
<p><b>RECORDS INFORMATION MANAGEMENT</b></p>		
<p>69. I am aware and have informed my department employees that UT Arlington is required by state law to maintain a records management program to ensure efficiency in the use of public resources, to protect confidential information, and to facilitate access to public information.</p>	<p>Records and Information Management  <a href="http://www.uta.edu/policy/rim">http://www.uta.edu/policy/rim</a></p>	
<p>70. I know who my Records Management Contact (RMC) is and have provided that information to the faculty and staff in my department.</p>		<ul style="list-style-type: none"> <li>The RMC is trained to properly maintain and destroy University records in accordance with the State’s records retention policy.</li> <li>Managers can view the RMC list at <a href="http://www.uta.edu/policy/rim/rmc">http://www.uta.edu/policy/rim/rmc</a> or contact Records Management staff in Net Solutions at 817-272-0222 to obtain the name of their RMC.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<b>INFORMATION SECURITY</b>		
71. I am aware and have informed my department employees that passwords are never to be shared.	Information Resources Acceptable Use Policy <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a>  Password Reset Policy <a href="http://www.uta.edu/oit/policy/eos/password-reset.php">http://www.uta.edu/oit/policy/eos/password-reset.php</a>	<ul style="list-style-type: none"> <li>• When assigning work or computers to your employees, ensure that each user has a separate computer account.</li> </ul>
72. I am aware and have informed my department employees that all computers should use a password protected screen saver, or logged off when the employee steps away from the terminal.	Information Resources Acceptable Use Policy <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a>	<ul style="list-style-type: none"> <li>• When users leave their computers unattended, locking computers before leaving it unattended prevents anyone else from accessing it while away.</li> </ul>
73. I am aware and have informed my department employees that duplication of copyrighted software is a violation of Federal copyright law unless permitted by the software license.	Handbook of Operating Procedures ADM 5-601: Unauthorized Copying of Computer Software <a href="http://www.uta.edu/policy/hop/adm/5/601">http://www.uta.edu/policy/hop/adm/5/601</a>  Information Resources Acceptable Use Policy <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a>	<ul style="list-style-type: none"> <li>• If software is to be used in your office, check with the Office of Information Technology (OIT) to ascertain the licensing status, before purchasing or duplicating the software.</li> <li>• Managers should ensure that their departments are in compliance with licensing rules for the various types of software used in their departments.</li> <li>• UT System Crash Course in Copyright</li> <li>• (<a href="http://www.utsystem.edu/ogc/intellectualproperty/cprtindx.htm">http://www.utsystem.edu/ogc/intellectualproperty/cprtindx.htm</a> )</li> </ul>
74. I am aware and have informed my department employees that unauthorized downloading, storage or sharing of copyrighted materials (music, movies, intellectual property, etc.) is a violation of Federal copyright law, unless expressly permitted by the copyright owner.	Handbook of Operating Procedures ADM 5-601: Unauthorized Copying of Computer Software <a href="http://www.uta.edu/policy/hop/adm/5/601">http://www.uta.edu/policy/hop/adm/5/601</a>  Handbook of Operating Procedures ADM 5-401: Copying Copyrighted Materials	<ul style="list-style-type: none"> <li>• State-owned computer equipment, including personal computers/servers and the UT Arlington network, may not be used to download or share copyrighted files.</li> <li>• In some cases, companies may permit the purchaser of a CD/DVD to make a single backup copy or may allow transferring of music files to a portable device.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
	<a href="http://www.uta.edu/policy/hop/adm/5/401">http://www.uta.edu/policy/hop/adm/5/401</a> Information Resources Acceptable Use Policy <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a>	
75. My department restricts access to confidential information, electronically and on paper.	UTS165 – Information Resources Use and Security Policy <a href="http://www.utsystem.edu/policy/policies/uts165.html">http://www.utsystem.edu/policy/policies/uts165.html</a> Information Resources Acceptable Use Policy <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a> HR Procedures 3-34, Ethics and Standards of Conduct <a href="http://www.uta.edu/policy/procedures/3-34">http://www.uta.edu/policy/procedures/3-34</a>	<ul style="list-style-type: none"> <li>• Lock up confidential information and restrict access.</li> <li>• Identify those within your office or department who might use confidential information and be sure they have been trained in the rules regarding privacy.</li> <li>• Be sure that backup tapes and computers with confidential information are not available to those who are not approved to handle such records.</li> <li>• Do not transmit confidential information via unencrypted e-mail or through other electronic means.</li> </ul>
76. I instruct employees to report information security incidents to UT Arlington’s Information Security Office.	UTS165 – Information Resources Use and Security Policy <a href="http://www.utsystem.edu/policy/policies/uts165.html">http://www.utsystem.edu/policy/policies/uts165.html</a> Information Resources Acceptable Use Policy <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a>	<ul style="list-style-type: none"> <li>• An incident is the use of a computer to violate statutes or regulations; such misuse frequently results in disciplinary action. Be familiar with the Information Security policies and be sure that any irregular use of computing is reported.</li> <li>• Notify your department’s Information Security Administrator (ISA), the OIT Help Desk at 817-272-2208, and the Information Security Office at 817-272-5487.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
77. My department follows UT Arlington procedures, including calling the Help Desk prior to installing all new computers or servers.	Information Resources Acceptable Use Policy <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a>	<ul style="list-style-type: none"> <li>• Always check OIT procedures before connecting to the network or installing new hardware. Follow the standard, check with the OIT Help Desk, the department's ISA and the Information Security Office if you have specific questions.</li> <li>• In order to protect the integrity of the University's network, devices that have been connected without prior approval may be removed or otherwise be prevented from connecting to the network.</li> </ul>
78. I am aware and have informed my department employees of policies to ensure the privacy and proper protection of Social Security Numbers.	UTS165 – Information Resources Use and Security Policy <a href="http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html">http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html</a>  Social Security Numbers and UTS165 <a href="http://www.uta.edu/oit/iso/ssn/index.php">http://www.uta.edu/oit/iso/ssn/index.php</a>	<ul style="list-style-type: none"> <li>• Encourage employees to read all UT System Policies related to the protection of confidential and sensitive information.</li> <li>• Encourage employees to bring questions or observations of unethical activity to their supervisor and the department's ISA.</li> <li>• Contact the UT Arlington Information Security Office 817-272-5487 for questions related to proper usage of Social Security Numbers.</li> <li>• Inform employees that they can report suspected issues of non-compliance anonymously through the Ethics Hotline, 1-877-507-7314.</li> </ul>
79. I am aware and have informed my department employees of the importance of protecting University data on personal computers, laptops, thumbdrives, CDs, disks, or any other medium.	Information Resources Acceptable Use Policy <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a>  UTS165 – Information Resources Use and Security Policy <a href="http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html">http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html</a>	<ul style="list-style-type: none"> <li>• All employees are required to read and acknowledge the UT Arlington Acceptable Use Policy.</li> <li>• All University owned laptops are required to be full disk encrypted or have an approved exception on file with the Information Security Office.</li> <li>• Encourage employees to contact the OIT Help Desk and their department's ISA for advice to protect electronic data.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>80. I am aware and have informed by department employees that data protection and non-disclosure agreements must be made with third party vendors before data can be shared with these vendors.</p>	<p>Information Resources Acceptable Use Policy  <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a></p> <p>UTS165 – Information Resources Use and Security Policy  <a href="http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html">http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html</a></p>	<ul style="list-style-type: none"> <li>• Contact the Information Security Office to discuss best practices and recommended verbiage on third party agreements to protect UT Arlington data.</li> <li>• Depending on the data or service provided by the third party vendor, a risk assessment may be needed prior to entering into formal agreements. Contact the Information Security Office to receive a copy of the Information Security Third-Party Assessment Survey.</li> </ul>
<p>81. I am aware and have informed my department employees that it is essential to keep computing equipment up-to-date with software updates and anti-virus definitions.</p>	<p>Information Resources Acceptable Use Policy  <a href="http://www.uta.edu/oit/policy/acceptable-use-info-resources.php">http://www.uta.edu/oit/policy/acceptable-use-info-resources.php</a></p> <p>UTS165 – Information Resources Use and Security Policy  <a href="http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html">http://www.utsystem.edu/bor/procedures/policy/policies/uts165.html</a></p>	<ul style="list-style-type: none"> <li>• Contact the OIT Help Desk to request Desktop Support or instructions to set up computing equipment with automatic updates of software upgrades and anti-virus definitions.</li> </ul>
<p>82. I am aware and have informed my department employees that all servers must be managed in accordance with University policy.</p>	<p>Handbook of Operating Procedures, Section ADM: 5-602 Server Management Policy  <a href="http://www.uta.edu/policy/hop/adm/5/602">http://www.uta.edu/policy/hop/adm/5/602</a></p>	<ul style="list-style-type: none"> <li>• All University owned servers are required to be located in an OIT approved location and managed by OIT or have an approved exception on file with the Information Security Office.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<b>RESEARCH</b>		
<p>83. I ensure that departmental research activities are in compliance with applicable federal/state regulations or policy when such activities involve (1) human subjects, (2) animal subjects, or (3) recombinant DNA.</p>	<p>Research Administration  <a href="http://www.uta.edu/ra/index.htm">http://www.uta.edu/ra/index.htm</a></p> <p><b>Human Subjects</b>            Protection of Human Subjects, Title 45            CFR Part 46  <a href="http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.html">http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.html</a></p> <p>Human Subjects Standard Operating Procedures  <a href="http://www.uta.edu/ra/oric/human/sops.htm">http://www.uta.edu/ra/oric/human/sops.htm</a></p> <p><b>Animal Subjects</b>            Animal Welfare Regulations, Title 9,            Chapter 1  <a href="http://www.aphis.usda.gov/animal_welfare/publications_and_reports.shtml">http://www.aphis.usda.gov/animal_welfare/publications_and_reports.shtml</a></p> <p>Public Health Service Policy on Humane Care and Use of Laboratory Animals  <a href="http://grants.nih.gov/grants/olaw/references/phspol.htm">http://grants.nih.gov/grants/olaw/references/phspol.htm</a></p> <p>The University of Texas at Arlington,            Institutional Animal and Use Committee            Policy and Procedures Handbook  <a href="http://www.uta.edu/ra/oric/animal/forms/UTA_IACUC_Policy_Manual.doc">http://www.uta.edu/ra/oric/animal/forms/UTA_IACUC_Policy_Manual.doc</a></p>	<ul style="list-style-type: none"> <li>• Administrative officials should be knowledgeable of related UT Arlington policies and procedures pertaining to the requirements and appropriate conduct of regulated research.</li> <li>• Research projects may require certain approvals, procedures, or safeguards to be implemented before initiation of work.</li> <li>• The Office of Regulatory Services provides guidance and assists faculty, staff and student investigators with the regulatory issues of research. The Office of Regulatory Services can be reached by calling 817-272-3723 or emailing <a href="mailto:regulatoryservices@uta.edu">regulatoryservices@uta.edu</a>.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
	<p><b>Recombinant DNA</b>  NIH Guidelines for Research Involving Recombinant DNA Molecules  <a href="http://oba.od.nih.gov/rdna/nih_guidelines_oba.html">http://oba.od.nih.gov/rdna/nih_guidelines_oba.html</a></p> <p>The University of Texas at Arlington, Policy and Procedures for Research Involving Recombinant DNA Molecules  <a href="http://www.uta.edu/ra/oric/biosafety/forms/Policy_Procedures_for_Research_Involving_Recombinant_DNA_Molecules.doc">http://www.uta.edu/ra/oric/biosafety/forms/Policy_Procedures_for_Research_Involving_Recombinant_DNA_Molecules.doc</a></p>	
<p>84. I am aware of policies and accepted standards for identifying and managing potential conflicts of interest related to objectivity in research.</p>	<p>Research Administration  <a href="http://www.uta.edu/ra/oric/coi/index.htm">http://www.uta.edu/ra/oric/coi/index.htm</a></p> <p>Handbook of Operating Procedures, Section ADM: 5-703, Policy and Procedures for Promoting Objectivity in Research by Managing, Reducing, or Eliminating Conflicts of Interest  <a href="http://www.uta.edu/policy/hop/adm/5/703">http://www.uta.edu/policy/hop/adm/5/703</a></p> <p>Handbook of Operating Procedures, Subchapter 6-100, Outside Employment  <a href="http://www.uta.edu/policy/hop/adm/6/1000">http://www.uta.edu/policy/hop/adm/6/1000</a></p>	<ul style="list-style-type: none"> <li>• Situations that could potentially produce a conflict of interest, financial or otherwise, are readily expected in the academic environment, but must be promptly identified and reported so that appropriate monitoring or management of the potential conflict can take place.</li> <li>• The Office of Regulatory Services serves as the liaison between researchers and the University's Research Integrity Committee. The Office of Regulatory Services can be reached by calling 817-272-3723 or emailing <a href="mailto:regulatoryservices@uta.edu">regulatoryservices@uta.edu</a>.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>85. I ensure that research activities involving commodities, software, data, or technology with potential military or defense applications are in compliance with Export Control regulations.</p>	<p>Research Administration  <a href="http://www.uta.edu/ra/index.htm">http://www.uta.edu/ra/index.htm</a></p> <p>Regulatory Services, Export Control  <a href="http://www.uta.edu/ra/oric/exportcontrol.htm">http://www.uta.edu/ra/oric/exportcontrol.htm</a></p>	<ul style="list-style-type: none"> <li>• Administrative Officials should assist with the review of departmental research activities to determine whether the activities are impacted by the controls or requirements contained within export regulations.</li> <li>• The Office of Regulatory Services should be notified of affected research activity far enough in advance to make appropriate export determinations and obtain an authorization (i.e., license), should one be required. The Office of Regulatory Services can be reached by calling 817-272-3723 or emailing <a href="mailto:regulatoryservices@uta.edu">regulatoryservices@uta.edu</a>.</li> </ul>
<p>86. I am responsible for fostering an environment of research integrity and supporting researchers in the responsible conduct of research.</p>	<p>Public Health Service Policies on Research Misconduct  <a href="http://ori.hhs.gov/sites/default/files/42_cfr_parts_50_and_93_2005.pdf">http://ori.hhs.gov/sites/default/files/42_cfr_parts_50_and_93_2005.pdf</a></p> <p>Regulatory Services, Responsible Conduct in Research  <a href="http://www.uta.edu/ra/oric/responsible_conduct/index.htm">http://www.uta.edu/ra/oric/responsible_conduct/index.htm</a></p>	<ul style="list-style-type: none"> <li>• Any suspected activities or allegations of research misconduct should be promptly reported for further investigation and appropriate resolution.</li> <li>• The Office of Regulatory Services will provide guidance regarding the responsible conduct of research and will assist Administration in responding to allegations or investigations of research misconduct. The Office of Regulatory Services can be reached by calling 817-272-3723 or emailing <a href="mailto:regulatoryservices@uta.edu">regulatoryservices@uta.edu</a>.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>87. Employees in my department are aware of the resources available to assist in proposal and budget development.</p>	<p>Internal Routing Form  <a href="http://www.uta.edu/ra/real/loginscreen.php?view=2">http://www.uta.edu/ra/real/loginscreen.php?view=2</a></p> <p>Cost Sharing Authorization Form  <a href="http://www.uta.edu/ra/GCS/forms/preawardforms/costsharing_form_template.doc">http://www.uta.edu/ra/GCS/forms/preawardforms/costsharing_form_template.doc</a></p> <p>Cost Sharing Policy  <a href="http://www.uta.edu/ra/GCS/forms/PnP/CostSharing_Policy.doc">http://www.uta.edu/ra/GCS/forms/PnP/CostSharing_Policy.doc</a></p> <p>Grant and Contract Specialist  <a href="http://www.uta.edu/ra/GCS/specialists_new.php">http://www.uta.edu/ra/GCS/specialists_new.php</a></p> <p>Guide to Research  <a href="http://www.uta.edu/ra/GCS/guidetoresearch.htm">http://www.uta.edu/ra/GCS/guidetoresearch.htm</a></p> <p>Funding Opportunities and Grant Writing Tips  <a href="http://www.uta.edu/ra/GCS/grantwriting.htm">http://www.uta.edu/ra/GCS/grantwriting.htm</a></p>	<ul style="list-style-type: none"> <li>Your department's Pre-Award Specialist can be reached by calling 817-272-2105.</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
<p>88. I ensure that accounts for sponsored projects are properly managed in my department.</p>	<p>Allowable Cost Policy  <a href="http://www.uta.edu/ra/GCS/forms/PnP/allowable_costs_policy.doc">http://www.uta.edu/ra/GCS/forms/PnP/allowable_costs_policy.doc</a></p> <p>Federal Circular Office of Management and Budget A-21  <a href="http://www.whitehouse.gov/omb/rewrite/circulars/a021/a021.html">http://www.whitehouse.gov/omb/rewrite/circulars/a021/a021.html</a></p> <p>Federal Circular Office of Management and Budget A-110  <a href="http://www.whitehouse.gov/omb/circulars_a021_2004">http://www.whitehouse.gov/omb/circulars_a021_2004</a></p> <p>Cost Transfer Policy  <a href="http://www.uta.edu/ra/GCS/forms/PnP/cost_transfer_policy.doc">http://www.uta.edu/ra/GCS/forms/PnP/cost_transfer_policy.doc</a></p>	<ul style="list-style-type: none"> <li>• Always read award notices and/or contract documents for information specific to your award.</li> <li>• For general information and guidance on costs, consult the University’s Guide to Allowable Costs (<a href="http://www.uta.edu/ra/GCS/forms/Guide%20to%20Allowable%20Costs.doc">www.uta.edu/ra/GCS/forms/Guide%20to%20Allowable%20Costs.doc</a> )</li> <li>• Cost transfers to/from sponsored research accounts need to be approved by the Office of Grants and Contracts. Contact your department’s Post-Award Specialist by calling 817-272-2105.</li> </ul>
<p>89. Employees in my department are aware that Time and Effort Reporting is the mechanism to review and confirm salary expenditures have been appropriately allocated between the University and sponsoring agencies.</p>	<p>Time and Effort Reporting Policy  <a href="http://www.uta.edu/ra/GCS/ecrt/resources/time_and_effort_reporting_policy.doc">http://www.uta.edu/ra/GCS/ecrt/resources/time_and_effort_reporting_policy.doc</a>  <a href="http://www.uta.edu/ra/GCS/ecrt/resources/time_and_effort_reporting_policy.docx">time_and_effort_reporting_policy.docx</a></p>	<ul style="list-style-type: none"> <li>• Faculty time and all salaries charged to sponsored projects should be appropriately allocated. The offloading of salary expenses to grant accounts results in salary savings for the department/unit/college.</li> <li>• For additional information, consult the Time and Effort Reporting Guidelines (<a href="http://www.uta.edu/ra/GCS/ecrt/policies.php">www.uta.edu/ra/GCS/ecrt/policies.php</a> )</li> </ul>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
90. I have informed my employees how to protect Intellectual Property that they create.	Intellectual Property Handbook <a href="http://www.uta.edu/ra/otm/handbook.htm">http://www.uta.edu/ra/otm/handbook.htm</a>  Forms relating to Intellectual Property <a href="http://www.uta.edu/ra/otm/forms.htm">http://www.uta.edu/ra/otm/forms.htm</a>	<ul style="list-style-type: none"> <li>• Inventions should be disclosed to the Office of Technology Management BEFORE disclosure to the public.</li> <li>• Intellectual Property is assigned to the Board of Regents and commercial benefits are shared with the inventors and the University.</li> <li>• Questions regarding Intellectual Property should be directed to the office of Technology Management by calling 817-272-1119 or emailing <a href="mailto:otm@uta.edu">otm@uta.edu</a>.</li> </ul>
91. I have informed my employees that they are not authorized to sign contracts (Sponsored Research Agreements – SRAs; non-disclosure/confidentiality agreements – NDAs; or material transfer agreements – MTAs) on behalf of the University.		<ul style="list-style-type: none"> <li>• Only University officials authorized by the President may commit the University to an externally funded project.</li> </ul>

**Please Note: The responsibilities listed throughout this Handbook are not all-inclusive, nor do they supplant the formal job description.**

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
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**SEPARATION OF DUTIES INTERNAL CONTROL TOOL**

The box below identifies some key transaction types and guidelines for separating duties.

Transaction Type	Initiates	Authorizes	Records	Reconciles	Controls (Custody)
<b>Purchase of Goods</b>	Issues Requisition <b>Person A</b>	Approves P.O./Invoice <b>Person B</b>	University Records <b>Accounting</b>	Budget Report <b>Person B or C</b>	Receives Goods <b>Person A or C</b>
<b>Purchase of Services (1)</b>	Issues Requisition <b>Person A</b>	Approves Payment & Verifies Receipt of Services <b>Person B</b>	University Records <b>Accounting</b>	Budget Report <b>Person B or C</b>	Disburses Check <b>Accounting</b>
<b>Cash Receipts (2)</b>	Opens Mail, Lists Checks, Restrictively Endorses <b>Person A</b>	Makes Deposit <b>Person B</b>	University Records & Department Records <b>Accounting &amp; Person B</b>	Bank Acct/Budget Report & Deposits to Checklist <b>Person A or C</b>	N/A
<b>Payroll</b>	Employee's Time Report	Approves Time Report and Payroll Date changes <b>Person A</b>	University Records <b>Accounting</b>	Budget Report Review <b>Person B</b>	Distributes Payroll Checks <b>Person B or C</b>

STATEMENT/QUESTION	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
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<b>Inventory (3)</b>	Issues Requisition <b>Person A</b>	Approves P.O./Invoice <b>Person B</b>	University Records & Department Records (Issues & Receipts) <b>Accounting and Person B</b>	Departmental Records to Budget Reports and Physical Counts <b>Person B or C</b>	Receives & Distributes Goods <b>Person A</b>
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- (1) If Person B authorizes and reconciles, additional monitoring is necessary**
- (2) No receipts should be received directly by Person B**
- (3) Physical counts should not be under the control of persons responsible for custody or recording**