MANAGEMENT LEADERSHIP TOOL

UNIVERSITY OF
TEXAS
ARLINGTON

University of Texas at Arlington – Management Leadership Tool

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1. All employees in my department are aware of and know where to locate the UTA Standards of Conduct Guide.	Standards of Conduct Guide www.uta.edu/compliance/pdf/conduct_gui de.pdf	• Encourage employees to read and stay familiar with the Standards of Conduct Guide. • Encourage employees to bring questions or observations of unethical activity to their supervisor. • Provide new employees with an orientation regarding their duties and responsibilities. • 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 www.uta.edu/compliance.
2. Employees in my department have completed the compliance training modules assigned to them.	Compliance Training Website (Blackboard) https://elearn.uta.edu	• Emphasize the importance of completing the online compliance training. Employees are notified via email when training has been assigned and will be given a deadline to complete the training. Supervisors and Vice Presidents are also notified. Net IDs are deactivated if training is not completed prior to the deadline. • New employee compliance training is released weekly. • Continuing employees complete their training annually, generally in October/November. • Student employees are also required to

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		complete compliance training.
3. I am aware that it is important to have measurable written goals and objectives for my department.	Unit Effectiveness Process Website http://www.uta.edu/irp/unit_effectiveness_plans/uep.htm	• Define department/unit purpose statement. • Define department/unit core functions and/or student competencies for each degree offered. • Develop the Department/Unit Assessment Plan for Administrative or Student Learning Outcomes.
4. I am aware that it is important to have written procedures for critical systems/processes in my department.	Departmental Policies and Procedures Manual Template http://www.uta.edu/compliance/department-manuals	• Identify critical operations. • Develop written procedures and review and update them annually.
5. I am aware that the Chief Legal Officer and University Attorney is the Officer for Public Information at UT Arlington.	Procedure 13-1 Access to Records http://www.uta.edu/policy/procedures/13-1 UTS 139 – Texas Public Information Act https://www.utsystem.edu/sites/policy-library/policies/uts-139-compliance-texas-public-information-act Open Records http://www.utsystem.edu/openrecords Texas Government Code, Chapter 552, Public Information http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.552.htm	• Each employee should know that a written request for documents must be relayed immediately to the Chief Legal Officer and University Attorney for handling. Employees receiving verbal inquiries about records should also direct those inquiries to the Chief Legal Officer and University Attorney.
6. I will notify the Office of Internal Audit when any external agency proposes to audit a specific contract, grant or department activity.		• The Office of Internal Audit can be reached at 817-272-0150 or www.uta.edu/internalaudit.

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Ethics and Conflicts of Interest		
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 UTA policies and procedures.	A Standards of Conduct Guide for Employees http://www.uta.edu/compliance/pdf/conduct_guide.pdf UT System, Office of General Counsel, Ethics Website https://www.utsystem.edu/offices/systemwide-compliance/ethics	• 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. • Management personnel are expected to be role models for ethical behavior in their department.
8. Employees in my department are aware that conflicts of interest and conflicts of commitment should be avoided in all instances of outside or dual employment.	Handbook of Operating Procedures, Section 5-508, Conflicts of Interest, Conflicts of Commitment, and Outside Activities Policy http://www.uta.edu/policy/hop/adm/5/508	• As a UTA employee, your first responsibility is to the University of Texas at Arlington and the University of Texas System. • The term "employees" includes all administrative officers, faculty, classified and non-classified staff, professional personnel, and student employees.
9. Employees in my department are encouraged to discuss any potential conflicts of interest and conflicts of commitment with their supervisor.	Handbook of Operating Procedures, Section 5-508, Conflicts of Interest, Conflicts of Commitment, and Outside Activities Policy http://www.uta.edu/policy/hop/adm/5/508 UTS180 – Conflicts of Interest, Conflicts of Commitment and Outside Activities http://www.utsystem.edu/sites/utsfiles/policies/uts/uts180.pdf UT System, Office of General Counsel, Ethics Website https://www.utsystem.edu/offices/systemwide-compliance/ethics	• Employees may also contact University Compliance Services with any conflict of interest questions at 817-272-2080.
10. Employees in my n my department are aware that, they must request approval through their department chair/head by completing the required information in the *Request Approval* section of the Outside Activity Portal	Handbook of Operating Procedures, Section 5-508, Conflicts of Interest, Conflicts of Commitment, and Outside Activities Policy http://www.uta.edu/policy/hop/adm/5/508	• You may not use UTA resources (including stationery or business address) in connection with any outside employment. • The Outside Activity Portal (the Portal) is located at http://outsideactivity.utsystem.edu

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prior to any outside board service or outside employment.		• You will use your Net ID and password to log into the Portal. You will click on "Request Approval" near the top left and complete the required information. Once the information has been successfully entered, you will route the form to your Department chair/head for approval. • For policy questions, contact University Compliance Services by emailing compliance@uta.edu or calling 817-272-2080 with policy questions. • For technical questions, please click "Help and Support" within the application and complete the required information on the Support Request Form. You may also call 1-855-488-3274 from 9 am to 5 pm Monday – Friday.
11. I am aware that employees that employees involved in procurement activities and contract management includes any UTA employee who makes decisions or recommendations regarding contract terms or conditions of a contract; who is awarded a contract; preparation of a solicitation for a contract; or evaluation of a bid or a proposal. This applies to procurement activities regarding purchases of $15,000 or more.	Handbook of Operating Procedures, Section 5-508, Conflicts of Interest Policy https://www.uta.edu/policy/hop/5-508	• For competitive procurements, any employee serving on an evaluation committee for bids or proposals will be required to sign a "Non-Conflict of Interest Statement" prior to serving on the evaluation committee. This statement affirms that the employee, nor any immediate family member, has no financial or personal interest in any of the firms that have submitted bids or proposals. In addition, it affirms that no other potential conflicts exist which may bias the employee's evaluation of the bid or proposal. • For non-competitive procurements (e.g. "sole source"), both the requesting employee as well as the Dean/Chair/Business Officer of the requester's department or business unit

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		sign a similar statement on the Exclusive Acquisition Form (Form 4-24) that must be submitted and reviewed by Procurement Services prior to the purchase being made. This statement affirms that they have not received, nor will receive, any financial compensation, gift, loan, gratuity, special favor, trip, or any other type of consideration in return for making the purchase.
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.		
13. I am aware that UTA has a legal obligation to protect the privacy of students and the confidentiality of student records.	UTA HOP 13-1100 Educational Records https://www.uta.edu/policy/hop/13-1100 FERPA for UTA Faculty and Staff https://www.uta.edu/records/faculty-staff/ferpa.php UTS 139 – Texas Public Information Act https://www.utsystem.edu/sites/policy-library/policies/uts-139-compliance-texas-public-information-act Texas Government Code, Chapter 552, Texas Public Information Act http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.552.htm Texas Government Code, Section 559.003, Right to	• UTA faculty and staff are encouraged to use the greatest precautions in communicating with students regarding their grades and other protected academic data. • A Student should access his/her grades and other academic data through self-service in MyMav (http://www.uta.edu/mymav). • Contact the Chief Legal Officer and University Attorney at 817-272-2142 with questions or to schedule training for your department.

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	Notice about Certain Information Laws and Practices http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.559.htm#559.003 Family Educational Rights and Privacy Act (FERPA) http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html Family Policy Compliance Office (FPCO) http://www2.ed.gov/policy/gen/guid/fpco/index.html	

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.	UTA HOP 13-1100 Educational Records https://www.uta.edu/policy/hop/13-1100
	
	FERPA for UTA Faculty and Staff https://www.uta.edu/records/faculty-staff/ferpa.php
	
	Family Educational Rights and Privacy Act (FERPA) http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html
	
	Family Policy Compliance Office (FPCO) http://www2.ed.gov/policy/gen/guid/fpco/index.html
		• The key concepts include:
		  o Student's right of access to student records, including directory information
		  o Written permission requirement for disclosure of student education record
		  o Parent's limited right of access to student records
		  o Exceptions to the written permission requirement
		  o Legitimate educational interest (job requirement)
		• Contact the Chief Legal Officer and University Attorney at 817-272-2142 with questions or to schedule training for your department.

15. Employees in my department are aware that UTA 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.	UTA HOP 13-1100 Educational Records https://www.uta.edu/policy/hop/13-1100 FERPA for UTA Faculty and Staff https://www.uta.edu/records/faculty-staff/ferpa.php Family Educational Rights and Privacy Act (FERPA)	• See the FERPA Basics PowerPoint presentation for additional information at https://www.uta.edu/records/_downloads/FERPA_BASICS.ppt • Contact the Chief Legal Officer and University Attorney at 817-272-2142 with questions or to schedule training for your department.

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	http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html Family Policy Compliance Office (FPCO) http://www2.ed.gov/policy/gen/guid/fpco/index.html	
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.	UTA HOP 13-1100 Educational Records https://www.uta.edu/policy/hop/13-1100 FERPA for UTA Faculty and Staff https://www.uta.edu/records/faculty-staff/ferpa.php Procedure 13-5 Records and Information Management http://www.uta.edu/policy/procedure/13-5 Information Resources Acceptable Use Policy http://www.uta.edu/oit/policies/acceptable-use-info-resources.php UTS165 UT System Information Resources Use and Security Policy https://www.utsystem.edu/sites/policy-library/policies/uts-165-information-resources-use-and-security-policy Family Educational Rights and Privacy Act (FERPA) http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html Family Policy Compliance Office (FPCO) http://www2.ed.gov/policy/gen/guid/fpco/index.html	• Only releasable directory information can be made available to the general public and other class members. • UTA's definition of directory information is available in HOP 13-1100. • Contact the Chief Legal Officer and University Attorney at 817-272-2142 with questions or to schedule training for your department.
17. Employees in my department are aware that	UTA HOP 13-1100 Educational Records	• So that no protected data is compromised or

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they may only email grades to the student's official UTA email address and only to that student.	https://www.uta.edu/policy/hop/13-1100 FERPA for UTA Faculty and Staff https://www.uta.edu/records/faculty-staff/ferpa.php Family Educational Rights and Privacy Act (FERPA) http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html Family Policy Compliance Office (FPCO) http://www2.ed.gov/policy/gen/guid/fpco/index.html	widely broadcast, use caution when using the delivered email functionality within the MyMav class roster or grade roster to email academic information to students. • A Student should access his/her grades and other academic data through self-service in MyMav (http://www.uta.edu/mymav). • Contact the Chief Legal Officer and University Attorney at 817-272-2142 with questions or to schedule training for your department.
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.	UTA HOP 13-1100 Educational Records https://www.uta.edu/policy/hop/13-1100 FERPA for UTA Faculty and Staff https://www.uta.edu/records/faculty-staff/ferpa.php Family Educational Rights and Privacy Act (FERPA) http://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html Family Policy Compliance Office (FPCO) http://www2.ed.gov/policy/gen/guid/fpco/index.html	• A Student should access his/her grades and other academic data through self-service in MyMav (http://www.uta.edu/mymav). • Contact the Chief Legal Officer and University Attorney at 817-272-2142 with questions or to schedule training for your department.
19. I will notify the appropriate University offices in the event of a FERPA incident of non-compliance.		• Contact the Chief Legal Officer and University Attorney at 817-272-2142 with questions or to schedule training for your department.

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Fiscal Management - General		
20. My department has a system for reviewing/reconciling the Cost Center and Project Statements 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 reviews/ reconciliations are dated and signed by the preparer and the reviewer.	Procedure 2-3 Cost Center and Project Statements http://www.uta.edu/policy/procedure/2-3 Regents' Rules Series No: 20501 https://www.utsystem.edu/board-of-regents/rules/20501-accounting-operating-budgets-and-legislative-appropriation-requests	• Managers should have a working knowledge of their budgets and UT Share. • 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. • If possible, assign different individuals the responsibility for entering data into the departmental system and the responsibility for reconciling the departmental system to UT Share. • Review departmental reconciliations monthly and ensure all transactions are appropriate and there are no misstatements or omissions. • Ensure that errors are corrected
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 Cost Center(s) and Project ID(s).		• 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. • Ensure that no one person handles all phases of a transaction, e.g., creates, approves, and reconciles. • Employees cannot approve disbursements, including payroll to themselves.

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		• 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.
22. I review my department's monthly phone charges.	Procedure 12-4 Long Distance Telephone Usage/Cellular Telephone Usage http://www.uta.edu/policy/procedures/12-4	• Review monthly phone bills and question unusual charges. • 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. • 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.

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		• The Extension Summary Report summarizes the charges for each extension in the department/unit.
23. My department reconciles cash and check income records to the deposit documentation.		• 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. • 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. • Income trends should be analyzed to determine whether actual income matches expected income. • Receipts should be issued for all in-person transactions, and the department should maintain documentation that a receipt was provided.
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.		• As a minimum requirement, keep cash/checks locked in a drawer or safe at all times. • Establish accountability for cash/checks by limiting access to the key or combination to as few individuals as possible.
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.	Procedure 2-14 Cash and Check Handling http://www.uta.edu/policy/procedures/2-14 UTS 166 – Cash Management and Cash Handling Policy https://www.utsystem.edu/sites/default/files/policies/uts/uts-166.pdf	• Depositing cash and checks timely is key to reducing the risk of theft and should be a priority when organizing employee's duties

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Purchasing		
26. Employees designated to procure goods and services for my department must have an understanding of the various procurement processes prior to purchasing on behalf of the University.	Procurement Website http://www.uta.edu/business-affairs/procurement/index.php Best Value Procurement Procedure http://www.uta.edu/policy/procedure/4-2 ProCard Procedure 4-11 http://www.uta.edu/policy/procedure/4-11 Reimbursement and Payments Other Than for Travel and Purchase Orders http://www.uta.edu/policy/procedure/4-26 UT Share Training Resources http://www.uta.edu/business-affairs/training/index.php	• Managers should have a working knowledge of purchasing procedures. • Emphasize the importance of following purchasing regulations and procedures. • Ensure that employees who initiate and approve transactions are familiar with guidelines and restrictions for different cost centers and project ID's. • Notify Procurement when discrepancies or problems occur with vendors and contractors. • Call your Procurement Specialist if you have questions. • Employees are stewards of University funds; therefore, purchases must be business related and consistent with the department's mission. • Utilize the UT Arlington ProCard for purchases $4,000 and less including freight. Items purchased must comply with ProCard Procedure 4-11. • Purchases of less than $15,000 may be sourced in UT Share to the prime vendor without competitive bidding. • Have an understanding that Procurement must handle all purchases of $15,000 and over, unless the purchase is for goods

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		and/or services that are not to be processed with a purchase order.
		• Purchases shall not be divided or split in order to evade procurement thresholds and procedures.
		• Archive adequate supporting documentation for all purchases in the event of an audit or other request for information.
		• Expenditure transactions and related vouchers must be independently reviewed for completeness, accuracy and compliance with University procedures, and in agreement with supporting documentation before being approved for payment.
		• The Business Affairs Training & Development Office provides training classes concerning purchasing the application of UT Share. Training & Development can be reached by calling 817-272-2155 or emailing batraining@uta.edu.
27. I understand that when goods are delivered directly to my department, desktop receiving needs to be done in UT Share. I am aware that when vendors are not paid within 30 days, my department could be subject to interest payments under the Prompt Payment Law.	Procedure 2-49 Central Receiving and Central Receiving Services http://www.uta.edu/policy/procedures/2-49 Texas Prompt Payment Act, Texas Government Code, Chapter 2251.025 http://www.statutes.legis.state.tx.us/Docs/GV/htm/GV.2251.htm#2251.025	• Ensure that employees who receive goods in your department are aware that desktop receiving needs to be performed 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. • If goods delivered to a department are

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	Prompt Payment Law Interest Rate https:fmx.cpa.state.tx.us/fm/usas/prompay/rate/index.php UT Share Training Resources https://www.uta.edu/business-affairs/training/index.php	damaged, or are not what was ordered, your department's designated Procurement Specialist and Central Receiving must be contacted immediately. Central Receiving must be notified once the vendor has remedied the situation to your satisfaction so that the vendor can be paid. Ensure that items are inspected and counted prior to performing desktop receiving in UT Share. • Departments should have a system for tracking outstanding purchase orders, e.g., an internal filing or accounting system.
28. 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.	Procedure 4-11 Purchasing Card (Procard) Program http://www.uta.edu/policy/procedures/4-11	• Managers should have a working knowledge of Procard policies and procedures. • 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 Procedure 4-11 Purchasing Card (Procard) Program. • Personal use of a University Procurement card is prohibited. • Ensure that Procard purchases are appropriate for the purposes/mission of the department/unit. • Maintain a log of Procard purchases and retain adequate supporting documentation for all Procard purchases, including Internet purchases, e.g., invoice, packing slip. • Before approving the Reconciliation Statement

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		in UT Share for Procard purchases, review all transactions to ensure that they are reasonable and appropriate for the department. Unusual transactions should be questioned. • Call Payment Card Services at 817-272-0404 if you have questions or problems with the Procard. • Ensure that sales tax is not charged on ProCard transactions. • Review all ProCard documentation and approve the Reconciliation Statement in UT Share before the designated date. • Instances of non-compliance with the Procard procedures and/or Procard misuse will be reported to University Compliance Services. • Failure to accurately respond to the Procard certification process will be reported to University Compliance Services.
Historically Underutilized Business (HUB)		
29. 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.	Procedure 4-28 Contracts with Historically Underutilized Businesses http://www.uta.edu/policy/procedures/4-28 HUB Program Website https://www.uta.edu/business-affairs/hub/	• 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. • Take steps to ensure HUB vendors are utilized whenever possible on purchases $5,000 or less, and ProCard purchases. • Use HUB information provided by Procurement to make purchasing decisions.

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		• HUB vendors can be found on the [Texas Procurement and Support Services Centralized Master Bidders List](#). • Contact the University's HUB Coordinator for any questions or guidance regarding the HUB Program at 817-272-2194.
Business Contracts		
30. I am aware and all employees paid from my Cost Center(s)/Project ID(s) have been informed that only the President and Person(s) with specific written delegation of authority from the President have authority to bind UTA to a contract.	Procedure 4-7 Departmental Contract Administration http://www.uta.edu/policy/procedures/4-7 Regent's Rules Series No. 10501 https://www.utsystem.edu/board-of-regents/rules/10501-delegation-act-behalf-board	• Ensure contracts comply with applicable UTA and UT System contracting policies and procedures, including the Board of Regents' Rules and Regulations related to contract delegation. • The Board of Regents' Rules and Regulations require that all contracts be approved by the President or his/her official, authorized delegate (ref. Series 10501, §§ 5 & 6). Only an individual with a written delegation of authority from the President may execute and deliver contracts on behalf of the University. A University contract without an authorized signature may be invalid and unenforceable. • Ensure that contracts are reviewed by Legal Affairs except for those routing through the Software purchase process and Procurement Services.
Property Management		
31. My department conducts an annual inventory of University property.	Property Management Procedures 2-43 through 2-47 and 2-57 through 2-64 http://www.uta.edu/policy/procedures	• Property Management will email a memorandum to Deans and Vice Presidents of each department to alert them of the Annual Reconciliation of Equipment Inventory as well as instructions on how to complete

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		the inventory.
		• Ensure that each of your departments designates a Departmental Inventory Contact Person (ICP). Multiple departments may designate the same ICP. The ICP is a staff member responsible for daily oversight of the department's inventory. The ICP should contact the Property Management Office at 817-272-2191 to set up an appointment and receive instructions. Property Management will assist each department on site with their physical inventory.
		• Ensure that the annual inventory for your departments are conducted and review the annual inventory documentation before completing the required annual certification.
32. My department prepares and maintains the proper inventory forms.	Property Management Forms (Form Nos. 2-45, 2-47, 2-49 and 2-53) http://www.uta.edu/policy/forms/index	• Designate an employee(s) to oversee the inventory process. • UT Arlington inventory forms are available in the following categories: o Inventory Transaction Form (Form 2-45) o Removal of Equipment from University Campus (Form 2-47) o Asset Information Form (Form 2-49) o Lost or Missing University Inventory Report Form (Form 2-53)

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33. In the event that equipment is stolen, I will ensure that my department notifies the University Police Department and Property Management immediately as required by University policy. If the stolen asset is a computer, I will ensure that the Information Security Office is also notified.	Procedure 2-45 Removal of Property from a Department's Inventory http://www.uta.edu/policy/procedures/2-45 Lost or Missing University Inventory Report Form (Form No. 2-53) http://www.uta.edu/policy/forms	• Contact the University Police at 817-272-3381 and an officer will complete an Offense/Incident Report. • After contacting University Police, contact Property Management and complete and submit a Lost or Missing University Inventory Report Form (Form 2-53) and a copy of the police report to propertymgmt@uta.edu or fax to 817-272-5220. • If the asset is a computer, also send copies of both documents to the Information Security Office at security@uta.edu or fax: 817-272-2612.
34. Equipment vulnerable to theft in my department is adequately safeguarded in locked cabinets or locked rooms.	Procedure 2-43 Responsibilities, Inventories, Reporting and Tracking of University Property http://www.uta.edu/policy/procedure/2-43	• 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.

35. I have informed my employees that they may be held personally liable for lost/stolen equipment if:
   a. Reasonable care was not exercised in the safekeeping of the equipment;
   b. Reasonable care was not exercised in the maintenance and service of the equipment;
   c. The loss occurred as a result of an intentional wrongful act by a university employee.
	Property Management http://www.uta.edu/business-affairs/property-management	• Ensure that employees are familiar with rules regarding accountability for university property.

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36. 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.	Procedure 2-46 Removal of Equipment from the University Premises http://www.uta.edu/policy/procedures/2-46 Removal of Equipment from University Campus Form (Form No. 2-47) http://www.uta.edu/policy/forms	• 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.
Gifts		
37. All gifts received by my department are forwarded to the Office of Institutional Advancement 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.	Procedure 2-8, Gifts to the University http://www.uta.edu/policy/procedures/2-8 Regent's Rules Series No. 60101 https://www.utsystem.edu/board-of-regents/rules/60101-acceptance-and-administration-gifts	• Review information on UT Arlington's Office of Institutional Advancement website. • Managers should have a working knowledge of gift policies in the University's Policies and Procedures and Regents' Rules (see web links provided). • Ensure that designated employees know where to find and how to fill out the gift record form (Form 20-1) • Ensure that employees know contact information for the UT Arlington Office of Institutional Advancement.
38. 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 Office of Institutional Advancement. Additionally, letters acknowledging gifts-in-kind should only include a description of the item(s)	Procedure 2-8, Gifts to the University http://www.uta.edu/policy/procedures/2-8	• Have a written policy for your unit/department regarding how to thank donors and express appreciation. • Designate someone in your department to coordinate the thank-you process.

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donated, not the value of the gift. The Office of Institutional Advancement coordinates the IRS receipts and thank you letters from the President and Vice President of Development.		• Ensure that employees have a copy of the procedures for acknowledging and thanking donors. • Keep samples/templates of letters. • Contact the UT Arlington Office of Institutional Advancement if you have questions.
39. 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	Procedure 2-6, Endowment Establishment and Management http://www.uta.edu/policy/procedures/2-6 Procedure 2-8, Gifts to the University http://www.uta.edu/policy/procedures/2-8	• Designate an employee to manage gift and endowment accounts. • Have written procedures on managing gift and endowment accounts. • Keep files current, organized, easily identifiable, and readily accessible. • 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 Office of Institutional Advancement.)
40. My department has a system in place to document that expenditures from gift and endowment accounts comply with the donor's intentions.	Procedure 2-6, Endowment Establishment and Management http://www.uta.edu/policy/procedures/2-6	• Designate an employee to manage gift and endowment accounts. • Document policies/procedures for expenditures including donor's intentions for each gift and endowment account. • Ensure that employees know policies and procedures regarding appropriate expenditures.

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		• Prior to approving expenditures from gift and endowment accounts, ensure that the expenditure is in compliance with the donor's intentions.
41. My department works with the Office of Institutional Advancement to secure the appropriate approval from the Board of Regents, Chancellor, or President prior to soliciting a gift that may include the naming of a building, space, or program.	Regents Rules Series No. 80307 http://www.utsystem.edu/board-of-regents/rules/80307-naming-policy	• Managers should have a working knowledge of the Board of Regents Naming Policy. • Ensure that designated employees know that the Office of Institutional Advancement will coordinate with the President's Office and UT System to request the appropriate approval to approach a potential donor with a naming opportunity. • Ensure that employees know contact information for the UT Arlington Office of Institutional Advancement.
Human Resources		
42. I complete and document annual performance evaluations for all department employees.	Procedure 3-25, Performance Management Review http://www.uta.edu/policy/procedures/3-25	• 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 Forms/Exhibits Index (Form 3-82). • Evaluations should be completed each year during the month of March. The period of the evaluations should be January 1st through December 31st of the previous year. • The original evaluation form should be scanned as a PDF and emailed to hrperfomancereviews@uta.edu. A complete copy should be retained in the administrative

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		unit or College, and another copy should be given to the employee.
		• 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 Forms/Exhibits Index (Form 3-82). An evaluation should be conducted on the 9t0h and 180th day of employment. Results of these evaluations should be the basis for retention or release of the employee. A signed copy of the 180-day evaluation form should be scanned to Human Resources at hrperformreviews@uta.edu. The New Employee Performance Review Form is used.
		• Develop performance goals for all positions (you may consult with your employees when developing expectations for the position).
		• Communicate the expectations for the position to the employee upon hiring and at the onset of the evaluation period.
		• In evaluating an employee, consider the employee's performance in the position in relation to the goals previously set by the supervisor.

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43. My department records hours worked on time sheets or time cards for non-exempt employees.	Payroll Services Website http://www.uta.edu/policy/bac/payroll Monthly Employee Time Record (1-5A) http://www.uta.edu/policy/forms/ Hourly Employee Time Record (1-5B) http://www.uta.edu/policy/forms/ Time Record Codes (1-5C) http://www.uta.edu/policy/forms Payroll Processing Dates http://www.uta.edu/policy/bac/payroll/dates Human Resources Website http://www.uta.edu/hr	• Time records are required for all non-exempt employees. • Timesheets/cards should be used to record hours worked for hourly employees. • The employing department enters all hours worked into UT Share. 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. • Payroll deadlines and paydays are listed online: https://www.uta.edu/business-affairs/payroll/payroll-processing-dates.php
44. My department has procedures to ensure that overtime and other non-standard work hours are appropriate and approved in advance by a supervisor.		• Give employees advance notice whenever possible that they will be working non-standard or overtime hours. • Develop a departmental procedure for requests to work additional or nonstandard hours (explanation for supervisor, supervisor's approval, etc.) and keep copies of documentation.
45. My department has a system to manage employee leave that achieves the following: • Employee workdays are monitored and leave balances are routinely reviewed by someone in their management chain. • Vacation, sick leave, an compensatory time balances are reconciled and entered into UT Share on a weekly basis. • Leave balances (vacation, sick, and		• Ensure that department keeps copies of appropriate documentation/records. • Encourage employees to review their individual reports for accuracy.

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compensatory) are communicated to employees on a monthly basis. • The monthly Vacation & Sick Leave Report reflecting the prior months leave activity is submitted to HR by the 15th of each month.		
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.	Procedure 3-3, Employment Procedures http://www.uta.edu/policy/procedures/3-3	• A set of interview questions (that are job related) should be prepared in advance of the interviews. • Interview questions should be designed to permit a fair and objective evaluation of each applicant and consist of objective, job-related inquiries. • The interview questions should be reviewed by the Office of Human Resources prior to the hiring department conducting the interview. • Each applicant should be asked the same questions; all responses should be recorded in writing. • The matrix, questions and responses should be forwarded to the Office of Human Resources when a hiring decision is made. • A criminal background check (CBC) must be conducted on all internal and external job applicants under final consideration for a position. • A CBC must also be conducted on all summer camp employees, temporary employees, independent contractors,

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		volunteers, and interns.
		• 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.
47. I am aware that an Employee Clearance Form must be completed and submitted to Human Resources for all employees.	Procedure 3-24, Employee Separation and Clearance Process http://www.uta.edu/policy/procedures/3-24 Departmental Vacation/Holiday Payroll Voucher Form 1-6 http://www.uta.edu/policy/Form/1-6	• The Employee Clearance form must be completed on-line. • 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. • The department will send the Clearance Form to Human Resources for retention after all signatures have been obtained. Additionally, the department will also submit the completed Vacation/Holiday Pay Voucher. • An employee's appointment will also need to be terminated in UTAFLOW, even if it has previously expired. • Contact Human Resources at 817-272-5554 with questions.
48. The Notice of Voluntary Service Form must be completed and forwarded to Human Resources for approval prior to a volunteer appointment.	Procedure 3-44, Volunteer Service http://www.uta.edu/policy/procedures/3-44 Notice of Voluntary Service (Form 3-8) http://www.uta.edu/policy/forms	• All required documents must be completed and submitted to Human Resources for approval prior to the beginning of the volunteer assignment. • All volunteers must submit to a Criminal

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		Background Check prior to the beginning of the volunteer assignment.
		• A volunteer whose appointment has expired must be reappointed before continuing in the volunteer service.
		• Volunteers are not covered under The University of Texas System Workers' Compensation Insurance programs.
		• Individuals appointed to volunteer positions are not eligible to participate in any employee benefits program administered by The University of Texas at Arlington.
		• University ID cards will not be issued for volunteer service.
		• Contact Human Resources at 817-272-5554 with questions.
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.	UT Arlington Standards of Conduct Guide for Employees http://www.uta.edu/compliance/pdf/conduct_guide.pdf	• Encourage employees to bring questions or observations of unethical activity to their supervisor. Supervisors should direct employees to the appropriate offices listed in the UT Arlington Standards of Conduct Guide for Employees.

• 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 University Compliance Services website. |

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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.	Handbook of Operating Procedures, Chapter 6 Faculty Matters http://www.uta.edu/policy/hop/adm/6/550	• 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. • 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. • 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. • Maintain faculty files for all instructors of record containing appropriate documentation of credentials including: ⟹ An official transcript (as defined in the Handbook of Operating Procedures, Chapter 6 Faculty Matters) for the degree that qualifies the individual to teach the courses assigned (usually the highest degree earned). ⟹ In cases where the highest (or qualifying) degree was awarded by a

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		foreign university or school, a report verifying the equivalency to a U.S. degree. See [Handbook of Operating Procedures, Chapter 6 Faculty Matters](#) for additional information. ⟹ 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. ⟹ As requested in special cases, other documentation such as letters from employers verifying related professional experience or course evaluations verifying excellence in teaching.
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.		• 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. • 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. • If the Graduate School does not have the requested transcript, ensure that the GTA obtains the necessary document from their previous institution.

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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.		• Develop and maintain written procedures describing how these procedures are implemented in the department.
Equal Opportunity Services		
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.	Procedure, 14-2, Equal Opportunity Policy Statement http://www.uta.edu/policy/procedures/14-2 Procedure 14-1, Sexual Harassment, Sexual Misconduct, and Consensual Relationships Policy http://www.uta.edu/policy/procedures/14-1 Handbook of Operating Procedures, Section ADM 5-503, Non-Discrimination Policy http://www.uta.edu/policy/hop/adm/5/503 Handbook of Operating Procedures, Section ADM 5-504, Nondiscrimination Policy on Sexual Orientation http://www.uta.edu/policy/hop/adm/5/504 Equal Opportunity Services Website http://www.uta.edu/eos	• 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. • A workplace in which consistent offensive conduct occurs can constitute a hostile work environment, even if some people are not offended by the behavior. • One inappropriate joke may not meet the legal Thresh old 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. • Set expectations and communicate them to

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		your employees. Remind employees about the sexual harassment policy and procedures at appropriate forums, such as faculty or staff meetings. • Encourage employees to visit the Human Resources website to review the policies on <u>sexual harassment, sexual misconduct, and consensual relationships</u>. • 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.

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.	Procedure 14-2, Equal Opportunity Policy Statement <u>http://www.uta.edu/policy/procedures/14-2</u>
	
	Procedure 14-1, Sexual Harassment, Sexual Misconduct, and Consensual Relationships <u>http://www.uta.edu/policy/procedures/14-1</u>
	
	Handbook of Operating Procedures, Section ADM 5-503: Non-Discrimination Policy <u>http://www.uta.edu/policy/hop/adm/5/503</u>
	
	Handbook of Operating Procedures, Section ADM 5-504: Nondiscrimination Policy on Sexual Orientation <u>http://www.uta.edu/policy/hop/adm/5/504</u>
	
	Equal Opportunity Services Website <u>http://www.uta.edu/eos</u>
		• UT Arlington prohibits discrimination in all areas of employment, including recruitment, hiring, training, assignments, and promotion.
		
		• Employment discrimination occurs if it is based on race, color, religion, sex, national origin, age, disability, veteran status, or sexual orientation.
		
		• Recognize your role and responsibilities as a manager to take immediate action to prevent discrimination, including:
		  o Examining your own behavior and making sure you lead by example.
		  o Identifying early signs of unprofessional behavior that may require preventive measures.
		  o Identifying specific behaviors requiring proactive measures or immediate intervention.
		• Examples of employment discrimination

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		include:
		  o Disparate Treatment: treating one employee differently than another.
		  o 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

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	Procedure 14-2, Equal Opportunity Policy Statement http://www.uta.edu/policy/procedures/14-2 Procedure 14-1, Sexual Harassment, Sexual Misconduct and Consensual Relationships http://www.uta.edu/policy/procedures/14-1 Handbook of Operating Procedures, Section ADM 5-503: Non-Discrimination Policy http://www.uta.edu/policy/hop/adm/5/503 Handbook of Operating Procedures, Section ADM 5-504: Nondiscrimination Policy on Sexual Orientation http://www.uta.edu/policy/hop/adm/5/504	• 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.
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.	Procedure 14-2, Equal Opportunity Policy Statement http://www.uta.edu/policy/procedures/14-2 Procedure 14-1, Sexual Harassment, Sexual Misconduct and Consensual Relationships http://www.uta.edu/policy/procedures/14-1 Handbook of Operating Procedures, Section ADM 5-503: Non-Discrimination Policy	• 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. • The Office of Equal Opportunity Services has a responsibility to ensure our campus environment remains free of discrimination. • The Office of equal Opportunity Services has a responsibility to: accept all reports of

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	http://www.uta.edu/policy/hop/adm/5/503 Handbook of Operating Procedures, Section ADM 5-504: Nondiscrimination Policy on Sexual Orientation http://www.uta.edu/policy/hop/adm/5/504	discrimination, determine the appropriate method of investigation and recommend action to resolve the matter in compliance with the policy.
Environmental Health & Safety		
57. I follow the program development and approval guidelines as set forth in University policy.	Handbook of Operating Procedures, Subchapter 4-300, Organization http://www.uta.edu/policy/hop/adm/4/300	
58. I ensure that employees under my supervision attend safety related training courses mandated by the UTA Environmental Health and Safety Office (EH&S), 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	EH&S Website http://www.uta.edu/campus-ops/ehs Procedures, 8-1 through 8-8 and 8-10 through 8-12 http://www.uta.edu/policy/procedure/index/ehs	• Ensure that employees complete the Hazard Communications Training prior to working with hazardous chemicals or toxins. • Ensure that employees complete radiation or laser safety training prior to working with radioactive materials, radiation producing machines or class 3b or 4 lasers. • Ensure that employees who may be exposed to human blood, cells, tissues and body fluids complete initial Bloodborne Pathogens training, are offered the HBV Vaccine, and the annual refresher training. • Ensure that employees working with biological agents or recombinant DNA in laboratories complete Hazard Communication and Bloodborne Pathogens training. • 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

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		Arlington and TX Bloodborne Pathogen Rule; and federal RCRA regulations governing hazardous waste operations.
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 the UTA Environmental Health and Safety Office (EH&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.	EH&S Website http://www.uta.edu/campus-ops/ehs Procedures, 8-1 through 8-8 and 8-10 through 8-12 http://www.uta.edu/policy/procedure/index/ehs	• Contact the Environmental Health and Safety Office at 817-272-2185 if there are any concerns or questions. • Refer to EH&S for specific contact persons and information and forms for reporting injuries or exposures, and the UT Arlington Return to Work Program. • Written notification must be made to EH&S Workers Compensation Section within 24 hours after an employee has reported or sustained a work related illness or injury. • Contact UT Arlington Police Department at "2-3003" or "9-911" for emergencies.
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 http://police.uta.edu/index.php	• Dial 2-3003 (emergency number) or 2-3381 (non-emergency number) on any campus phone to reach the University Police. • Ensure that a list of essential phone numbers and contact persons is available and can be easily accessed by all employees. • All employees should know that the University Police Department is located at 700 S. Davis Street. • Information regarding reporting crimes and hazards can be found on the University Police Department website.

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61. I would contact the University Police if I suspected illegal activity.	University Police Department http://police.uta.edu/index.php Silent Witness Form http://www.uta.edu/campus-ops/police/forms/silent-witness.php	• Dial 2-3381 on any campus phone to reach the University Police. • If an individual wishes to remain anonymous, he/she may also use the Silent Witness Form to report suspicious activity. • Ensure that a list of essential phone numbers and contact persons is available and can be easily accessed by all employees. • Information regarding reporting crimes and hazards can be found on the University Police Department website. • All employees should know that the University Police Department is located at 700 S. Davis Street.
Key Card and Access		
62. In the event of lost or stolen keys, I would report the incident immediately to the University Police.	Key Control Services https://police.uta.edu/services/key-control/ Procedure 6-15, Key and Lock Control http://www.uta.edu/policy/procedures/6-15	• Managers should be aware of the policies regarding key and lock control. • Managers should ensure that their employees know and adhere to the University's policy on keys and access to university facilities. • There is a $25 key charge to the user for each lost/unreturned key.
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 http://www.uta.edu/policy/form	• 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. • They Key Request Issuance and Receipt form can be found on the Forms/Exhibits Index, Form 6-3.

		• There is a $5 key charge to the department for each key requested.
Emergency Preparedness		
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.	Emergency Management http://police.uta.edu/emergency-preparedness/management Fire/Life Safety http://www.uta.edu/campus-ops/ehs/fire Environmental Health and Safety Office http://www.uta.edu/campus-ops/ehs/index.php *Evacuation Procedures* Procedure 7-6, Emergency/Fire Evacuation Procedures http://www.uta.edu/policy/procedures//7-6 Campus Safety Plan http://www.uta.edu/campus-ops/ehs/campus-safety Emergency Procedures Quick Reference Guide http://police.uta.edu/_docs/emergency-management/reference-guides/Quick%20Guide%20%20update%2007_2015.pdf	• Managers should ensure that their employees are familiar with emergency procedures. • Ensure that a list of essential phone numbers and contact persons are available and can be easily accessed by all employees. • 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. • Communicate the designated location outside the room/building to gather for an accountability check to students and employees. • Do not return to the room/building until you are given the "ok" by the chain of command. • Managers may contact the Environmental Health and Safety Office at 817-272-2185 to obtain information about hazardous substances. For severe weather, contact the Office of Emergency Management at 817-272-0117 or 817-272-0198. • Communicate to employees that all evacuations should be taken seriously. • Have a plan for helping employees who need

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		additional assistance in an evacuation.
		• Report missing individuals to a Public Safety Officer or UTA Police Officer at the scene and ensure that faculty members stay with their class.
65. I have informed faculty and staff in my department of the general information about an intruder on campus.		• If you are notified by the campus alert system, text message, or by UTA Police of an intruder on campus, and you are in a room and told to shelter, please take the following actions:
		⇒ Get out if you can do so safely.
		⇒ If you can't get out of the building safely, lock the door if possible.
		⇒ Barricade the door if you cannot lock it. Use desks, chairs, and other items to deny entry.
		⇒ Turn off the lights.
		⇒ 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.
		⇒ 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.
		⇒ Ask everyone to turn off or silence their electronic devices so as not to alert the intruder.
		⇒ Do NOT leave your room unless instructed to do so. Commands will

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		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.
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.	Behavior Intervention Team http://www.uta.edu/studentaffairs/bit	• 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.
67. If I become aware of any suspicious packages or devices, I will contact the University Police immediately.	FBI Advisory on Suspicious Packages http://www.fbi.gov/news/stories/2006/september Suspicious Mail or Packages https://www.utsystem.edu/board-of-regents/rules/40307-academic-program-approval-standards Emergency Procedures Quick Reference Guide, page 11 http://police.uta.edu/_docs/emergency-management/reference-guides/Quick%20Guide%20%20update%2007_2015.pdf	• Review with employees the FBI Document/Suspicious Package Poster.
Records Management		
68. 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.	Records and Information Management https://www.uta.edu/legalaffairs/rim/	

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69. I know who my Records Management Contact (RMC) is and have provided that information to the faculty and staff in my department.		• The RMC is trained to properly maintain and destroy University records in accordance with the State's records retention policy. • Managers can view the RMC list at http://www.uta.edu/policy/rim/rmc or contact Records Management staff in Accounting Services at 817-272-0222 to obtain the name of their RMC or to notify Records Management when there is a change in the status of their RMCs.
Information Security		
70. I am aware and have informed my department employees that passwords are to be kept secure and never to be shared.	Information Resources Acceptable Use and Security Policy Agreement http://www.uta.edu/oit/policy/hop/5-604 Password Standard http://www.uta.edu/security/password/	• When assigning work or computers to your employees, ensure that each user has a separate computer account. • Ensure that student workers are assigned a separate employee Net ID and email account so that their employee related email is separated from their FERPA covered email.
71. 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. Additionally, all computers must meet minimum configuration baselines that include centrally managed full disk encryption, antivirus software, host based firewall, and operating system and software updates.	Information Resources Acceptable Use and Security Policy Agreement http://www.uta.edu/oit/policy/hop/5-604 Minimum Security Standards for Servers and Workstations http://www.uta.edu/security/security_standards/servers_workstations/ UTA Computing Device Encryption Requirements http://www.uta.edu/security/encryption/fulldiskencryption/ Mobile Device Security Standards and Guidelines	• When users leave their computers unattended, locking computers before leaving it unattended prevents anyone else from accessing it while away. • All computers irrespective of form factor (desktop, laptop, tablet, etc.) must be encrypted following UT System's mandate for full disk encryption, must have antivirus software, a properly configured host based firewall and should have up-to-date operating system and application updates.

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	http://www.uta.edu/security/security_standards/mobile_devices/	
72. 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 Policy 5-401, Copying Copyrighted Materials http://www.uta.edu/policy/hop/5-401 Information Resources Acceptable Use and Security Policy Agreement http://www.uta.edu/oit/policy/hop/5-604	• 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. • Managers should ensure that their departments are in compliance with licensing rules for the various types of software used in their departments. • University of Texas Libraries Copyright Crash Course http://guides.lib.utexas.edu/copyright#link
73. 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 Policy 5-401, Copying Copyrighted Materials http://www.uta.edu/policy/hop/5-401 Information Resources Acceptable Use and Security Policy Agreement http://www.uta.edu/oit/policy/hop/5-604	• State-owned computer equipment, including tablet, laptop or desktop computers/servers and the UT Arlington network, may not be used to download or share files that violate applicable copyright law. • 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.
74. My department restricts access to confidential information, electronically and on paper.	UTS165 – Information Resources Use and Security Policy http://www.utsystem.edu/board-of-regents/policy-library/policies/uts165-information-resources-use-and-security-policy Information Resources Acceptable Use and Security Policy Agreement	• Lock up confidential information and restrict access. • Identify those within your office or department who might use confidential information and be sure they have been trained in the rules regarding privacy.

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	http://www.uta.edu/oit/policy/hop/5-604 HR Procedures 3-34, Ethics and Standards of Conduct http://www.uta.edu/policy/procedures/3-34	• Be sure that backup tapes, hard drives and computers with confidential information are encrypted and not available to those who are not approved to handle such records. • Do not transmit confidential information via unencrypted e-mail or through other electronic means that are not approved by the Information Security Office.
75. I instruct employees to report information security incidents to UTA's Information Security Office.	UTS165 – Information Resources Use and Security Policy http://www.utsystem.edu/board-of-regents/policy-library/policies/uts165-information-resources-use-and-security-policy Information Resources Acceptable Use and Security Policy Agreement http://www.uta.edu/oit/policy/hop/5-604 Cyber and Information Security Incident Management http://www.uta.edu/security/incident/	• 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. • Notify your department's supervisor, Information Security Administrator (ISA), and the Information Security Office at security@uta.edu or 817-272-5487.
76. My department follows UTA procedures, including calling the Help Desk prior to installing all new computers or servers.	Information Resources Acceptable Use and Security Policy Agreement http://www.uta.edu/oit/policy/hop/5-604 Purchasing Card (ProCard) Program https://www.uta.edu/policy/procedure/4-11 Best Value Purchasing Procedures https://www.uta.edu/policy/procedure/4-2#section-8-7	• Always purchase computers from the OIT bulk order list to ensure compatibility with UTA software and configuration requirements. • Never purchase computers on a ProCard. • 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.

STATEMENT/QUESTION/OVERVIEW	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
		• 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.
77. 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 http://www.utsystem.edu/board-of-regents/policy-library/policies/uts165-information-resources-use-and-security-policy UTA Information Security Office, Social Security Numbers and UTS165 http://www.uta.edu/security/ssn/	• Encourage employees to read all UT System Policies related to the protection of confidential and sensitive information. • Encourage employees to bring questions or observations of unethical activity to their supervisor and the department's ISA. • Contact the UTA Information Security Office at security@uta.edu or 817-272-5487 for questions related to proper usage of Social Security Numbers. • Inform employees that they can report suspected issues of non-compliance anonymously through The Ethics Hotline.
78. I am aware and have informed my department employees of the importance of protecting University data on personal computers, laptops, thumb drives, CDs, disks, or any other medium.	UTS165 – Information Resources Use and Security Policy http://www.utsystem.edu/board-of-regents/policy-library/policies/uts165-information-resources-use-and-security-policy Information Resources Acceptable Use and Security Policy Agreement http://www.uta.edu/oit/policy/hop/5-604 Personal Full Disk Encryption and Security http://www.uta.edu/security/encryption/fulldiskencryption_personal/ Security Standards and Guidelines for Telecommuting	• All employees are required to read and acknowledge the UT Arlington Acceptable Use Policy. • All non-university owned devices (laptops, desktops and mobile devices) containing confidential or certain controlled University information must be encrypted. • Encourage employees to contact the Information Security Office for advice to protect electronic data.

STATEMENT/QUESTION/OVERVIEW	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
	or Accessing Restricted Information Resources http://www.uta.edu/security/rmote_access	
79. I am aware and have informed my department employees that data protection and non-disclosure agreements must be made with third party vendors before data can be shared with these vendors.	UTS165 – Information Resources Use and Security Policy http://www.utsystem.edu/board-of-regents/policy-library/policies/uts165-information-resources-use-and-security-policy Information Resources Acceptable Use and Security Policy Agreement http://www.uta.edu/oit/policy/hop/5-604 Standards and Guidelines for Using and Procuring Cloud or Third Party Information Technology Services http://www.uta.edu/security/cloud_services Third Party Data Transfer http://www.uta.edu/security/data_transfer	• Contact the Chief Legal Officer and University Attorney to ensure that appropriate contractual agreements are fully executed before any UTA data is provided to a third party. • Contact the Information Security Office to discuss best practices to protect UTA data. • 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.
80. 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.	UTS165 – Information Resources Use and Security Policy http://www.utsystem.edu/board-of-regents/policy-library/policies/uts165-information-resources-use-and-security-policy Information Resources Acceptable Use and Security Policy Agreement http://www.uta.edu/oit/policy/hop/5-604	• 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.
81. I am aware and have informed my department employees that all servers must be managed in accordance with University policy. All servers must be classified according to the Universities data classification standard.	Handbook of Operating Procedures, Section ADM: 5-602 Server Management Policy http://www.uta.edu/policy/hop/adm/5/602 Classification of Sensitive Digital Data http://www.uta.edu/security/data_classification	• All University owned servers are required to be secured in a manner that meets UTA policy. • Exceptions to this policy can be requested at https://www.uta.edu/policy/form/18-4.

STATEMENT/QUESTION/OVERVIEW	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
Research		
82. 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.	Research Administration, Regulatory Services http://www.uta.edu/ra/index.htm **Human Subjects** Protection of Human Subjects, Title 45 CFR Part 46 http://www.hhs.gov/ohrp/humansubjects/guidance/45cfr46.html UTA's Human Subjects Operating Procedures http://www.uta.edu/research/administration/departments/rs/human-subjects-irb/operatingProcedures/index.php **Animal Subjects** Animal Welfare Regulations, Title 9 https://www.aphis.usda.gov/aphis/ourfocus/animalwelfare/sa_awa/ct_awa_program_information Public Health Service Policy on Humane Care and Use of Laboratory Animals http://grants.nih.gov/grants/olaw/references/phspol.htm The University of Texas at Arlington, Institutional Animal and Use Committee Policy and Procedures Handbook http://www.uta.edu/research/administration/departments/rs/animals-subjects-iacuc/iacuc-policies-and-procedures.php **Recombinant DNA** NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules http://osp.od.nih.gov/office-biotechnology-	• Administrative officials should be knowledgeable of related UTA policies and procedures pertaining to the requirements and appropriate conduct of regulated research. • Research projects may require certain approvals, procedures, or safeguards to be implemented before initiation of work. • 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 regulatoryservices@uta.edu.

STATEMENT/QUESTION/OVERVIEW	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
	activities/biosafety/nih-guidelines The University of Texas at Arlington, Policy and Procedures for Research Involving Recombinant or Synthetic Nucleic Acid Molecules http://www.uta.edu/research/administration/departments/rs/recombinant-dna-ibc/regulations-guidelines.php	
83. I am aware of policies and accepted standards for identifying and managing potential conflicts of interest (COI) related to objectivity in research.	Research Administration http://www.uta.edu/ra/index.htm The University of Texas at Arlington, Policy for Disclosure, Management, and Reporting of Financial Conflicts of Interest in Research http://www.uta.edu/research/administration/departments/rs/conflict-of-interest/index.php PHS/DHHS/NIH Regulations for COI https://grants.nih.gov/grants/policy/coi/index.htm	• Situations that could potentially produce a conflict of interest (financial or otherwise) related to research 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. • The Office of Regulatory Services serves as the liaison between researchers and the University's COI Committee. The Office of Regulatory Services can be reached by calling 817-272-3723 or emailing regulatoryservices@uta.edu.
84. I ensure that research activities involving commodities, software, data, or technology with potential military or defense applications are in compliance with Export Control regulations.	Research Administration http://www.uta.edu/ra/index.htm Regulatory Services, Export Control http://www.uta.edu/research/administration/departments/rs/export-control/index.php Department of Commerce Export Administration Regulations (EAR) https://www.bis.doc.gov/index.php/regulations/export-administration-regulations-ear Department of State International Traffic in Arms Regulations (ITAR)	• 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. • 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 regulatoryservices@uta.edu.

STATEMENT/QUESTION/OVERVIEW	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
	https://www.pmddtc.state.gov/?id=ddtc_kb_article_page&sys_id=24d528fddbfc930044f9ff621f961987 Department of Treasury Sanctions Programs https://www.treasury.gov/resource-center/sanctions/Pages/default.aspx	
85. I am responsible for fostering an environment of research integrity and supporting researchers in the responsible conduct of research.	Public Health Service Policies on Research Misconduct https://ori.hhs.gov/statutes-regulations Handbook of Operating Procedures, Policy 5-701, Misconduct in Research and/or Scholarship https://www.uta.edu/policy/hop/5-701 Regulatory Services, Responsible Conduct in Research http://www.uta.edu/research/administration/departments/rs/conduct-of-research/index.php	• Any suspected activities or allegations of research misconduct should be promptly reported for further investigation and appropriate resolution. • 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 regulatoryservices@uta.edu.
86. Employees in my department are aware of the resources available to assist in proposal and budget development.	Internal Routing Form https://mentis.uta.edu/public/#grantmanagement Cost Sharing Policy http://www.uta.edu/research/administration/policies-procedures-html/cost-sharing-policy.php Grant and Contract Specialist http://www.uta.edu/research/administration/departments/gcs/specialists/index.php Guide to Research http://www.uta.edu/research/administration/departments/gcs/ask-for-funding/guide-to-research-funding.php Funding Opportunities	• The Cost Sharing Authorization form is contained within the internal routing form. Best practice has the faculty member discuss any cost sharing requests and/or reduction or waiver of IDC internally within the Unit prior to routing the form within the Unit prior to routing the form for formal approval. • Your department's Pre-Award Specialist can be reached by calling 817-272-2105.

STATEMENT/QUESTION/OVERVIEW	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
	http://www.uta.edu/research/administration/departments/gcs/find-funding/index.php Grant Writing Tips http://www.uta.edu/research/administration/departments/gcs/ask-for-funding/grant-writing.php Authorization for Advance Spending Form http://www.uta.edu/research/_docs/Authorization_For_Pre_Award_Spending_Form.pdf	
87. I ensure that accounts for sponsored projects are properly managed in my department.	Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards Allowable Cost Policy http://www.uta.edu/research/administration/policies-procedures-html/allowable-costs-policy.php Cost Transfer Policy http://www.uta.edu/research/administration/policies-procedures-html/cost-sharing-policy.php	• Always read award notices and/or contract documents for information specific to your award. • For general information and guidance on costs, consult the University's Guide to Allowable Costs http://www.uta.edu/research/administration/policies-procedures-html/guide-to-allowable-costs.php • Cost and/or budget 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 or by emailing postaward@uta.edu.
88. 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.	Time and Effort Reporting Policy http://www.uta.edu/research/administration/departments/gcs/ecrt/effort-reporting.php	• 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. • For additional information, consult the Time and Effort Reporting Guidelines (www.uta.edu/ra/GCS/ecrt/policies.php)

STATEMENT/QUESTION/OVERVIEW	POLICY/FORM LINKS	BEST PRACTICES/SUGGESTIONS
89. I have informed my employees how to protect Intellectual Property that they create.	Intellectual Property Handbook http://www.uta.edu/ra/otm/handbook.htm Forms relating to Intellectual Property http://www.uta.edu/ra/otm/forms.htm To disclose an invention, go to: https://uta.wellspringsoftware.net To receive login credentials, email otm@uta.edu Detailed instructions are available at: http://www.uta.edu/research/administration/ departments/tm/otm_documents/WebDisclos ureProcess.pdf	• Inventions should be disclosed to the Office of Technology Management BEFORE publication or presentation. • Intellectual Property is assigned to the Board of Regents and commercial benefits are shared with the inventors and the University. • Questions regarding Intellectual Property should be directed to the Office of Technology Management by calling 817-272-1119 or emailing otm@uta.edu .
90. 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.		• Only University officials authorized by the President may commit the University to an externally funded project.

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

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)
Purchase of Goods	Issues Requisition **Person A**	Approves P.O./Invoice **Person B**	University Records **Accounting**	Budget Report **Person B or C**	Receives Goods **Person A or C**
Purchase of Services (1)	Issues Requisition **Person A**	Approves Payment & Verifies Receipt of Services **Person B**	University Records **Accounting**	Budget Report **Person B or C**	Disburses Check **Accounting**
Cash Receipts (2)	Opens Mail, Lists Checks, Restrictively Endorses **Person A**	Makes Deposit **Person B**	University Records& Department Records **Accounting & Person B**	Bank Acct/Budget Report & Deposits to Checklist **Person A or C**	N/A
Payroll	Employee's Time Report	Approves Time Report and Payroll Date changes **Person A**	University Records **Accounting**	Budget Report Review **Person B**	Distributes Payroll Checks **Person B or C**
Inventory (3)	Issues Requisition **Person A**	Approves P.O./Invoice **Person B**	University Records & Department Records (Issues & Receipts) **Accounting and Person B**	Departmental Records to Budget Reports and Physical Counts **Person B or C**	Receives & Distributes Goods **Person A**

(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