

MANAGEMENT RESPONSIBILITIES HANDBOOK

FOR

DEPARTMENT HEADS AND BUDGET AUTHORITIES



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THE UNIVERSITY OF TEXAS OF THE PERMIAN BASIN

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TABLE OF CONTENTS

STATEMENT FROM THE PRESIDENT	1
SUMMARY OF MANAGEMENT RESPONSIBILITIES	2
ETHICAL CONDUCT	2
<i>UT System Ethics Policy (summary)</i>	2
FINANCIAL STEWARDSHIP	3
<i>Preparation and review of monthly departmental account reconciliations</i>	3
<i>Transfer of account balances</i>	4
<i>Segregation of duties</i>	4
ANNUAL BUDGET PROCESS	5
EFFECTIVE OPERATIONS	5
<i>Goals and objectives</i>	5
<i>Departmental policies and procedures manual</i>	6
<i>Institutional effectiveness</i>	6
<i>Management of account balances</i>	7
INTERNAL CONTROL.....	7
<i>Control environment</i>	7
<i>Risk Assessment</i>	8
<i>Control activities</i>	8
<i>Information and communication</i>	8
<i>Monitoring</i>	8
COMPLIANCE WITH LAWS, REGULATIONS, POLICIES AND PROCEDURES	8
<i>Conflict of Interest</i>	9
<i>Financial Disclosure</i>	9
<i>Business Contracts</i>	9
<i>Endowment Management</i>	9
<i>Copyright Laws</i>	10
<i>Records Retention</i>	10
<i>Records Storage and Disposal Policy</i>	10
<i>Protecting the Confidentiality of Social Security Numbers</i>	11
<i>Texas Public Information Act</i>	11
<i>Media Relations</i>	11
<i>Use of UT Permian Basin Registered Marks</i>	11
<i>UT System Fraud Policy (UTS 118)</i>	12
SUMMARY OF OPERATING PROCEDURES AND GUIDELINES	16
ENVIRONMENTAL HEALTH & SAFETY	16
<i>Emergency Guidelines</i>	17
<i>Disaster Recovery Plans</i>	17
<i>Departmental Safety Liaisons</i>	17
<i>Workers' Compensation Claims</i>	17
<i>Special Events</i>	18
<i>Laboratory Safety</i>	18
<i>Laboratory Safety Inspections</i>	18
<i>Laboratory Waste Management Guidelines</i>	19
FINANCIAL SERVICES	19
<i>Accounts Payable</i>	19
<i>Cash Accounting</i>	19
<i>Cash Management</i>	19
<i>Historically Underutilized Business Program (HUB)</i>	20

<i>Interdepartmental Transfers</i>	20
<i>Payments to Individuals and Consultants</i>	21
<i>Payroll Procedures</i>	22
<i>Property and Equipment</i>	22
<i>Purchasing Procedures</i>	23
<i>Procurement Card Purchase Program</i>	25
<i>Report Distribution</i>	25
<i>Travel</i>	25
HUMAN RESOURCES MANAGEMENT	27
<i>General</i>	27
<i>Hiring</i>	27
<i>Form I-9</i>	28
<i>Workforce diversity</i>	28
<i>Classified employee personnel pay plan</i>	28
<i>New employee orientation</i>	28
<i>UT Permian Basin benefits</i>	28
<i>New employee probationary period</i>	29
<i>Employee training</i>	29
<i>Employee grievances</i>	30
<i>Overtime</i>	30
<i>Equivalent time</i>	30
<i>Vacation</i>	31
<i>Longevity Pay</i>	32
<i>Sick leave</i>	32
<i>Sick leave pool</i>	32
<i>Time and leave records</i>	33
<i>Performance evaluations</i>	33
<i>Employee discipline and dismissal</i>	33
<i>Holidays</i>	33
<i>Leaves of absence without pay</i>	33
<i>Faculty development leave</i>	34
<i>Leave for jury duty</i>	34
<i>Leave for military duty</i>	34
<i>Family and medical leave</i>	34
<i>Time off to vote</i>	35
<i>Funeral/Emergency leave</i>	35
<i>Personnel records</i>	35
<i>Merit Increases</i>	36
<i>Promotions</i>	36
<i>Sexual harassment and misconduct</i>	36
<i>Outside employment</i>	36
<i>Dual employment and consulting</i>	38
<i>Nepotism</i>	39
<i>Employee separation</i>	39
<i>Employee assistance program</i>	39
<i>Political activities</i>	40
<i>Alcoholic beverages</i>	40
<i>Discipline and Dismissal of Classified Employees</i>	41
<i>Grievance Policies and Procedures</i>	48
<i>Sick Leave Pool Policy</i>	50
INFORMATION RESOURCES MANAGEMENT.....	50
<i>Responsibilities of Administrative Officers</i>	51
<i>Policy for the Use and Protection of Information Resources</i>	51
<i>Texas Public Information Act (Formerly Open Records Act)</i>	52
<i>UT System Ethics Policy</i>	53

UT System Administration Internet Policy53
QUICK GUIDE TO RESOURCE DEPARTMENTS & PERSONNEL54
WHAT DO YOU NEED? HOW TO GET IT:63

Statement from the President

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

The purposes of this handbook are as follows:

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

This is an important reference manual; please read it carefully. Your comments and suggestions for future editions of the handbook should be addressed to the Vice President for Business Affairs or the Internal Auditor / Assistant Compliance Officer.

Thank you for doing your part to effectively manage The University of Texas of the Permian Basin.

Sandra K. Woodley
President

Summary of Management Responsibilities

This handbook is meant to be a general summary of the responsibilities of budget authorities and is not an all inclusive document. If in conflict, Federal and State laws, as well as UT System Regents' *Rules and Regulations* and UT System *Policies*, supersede the contents of this handbook. Budget Authorities are also responsible for items found in the *Handbook of Operating Procedures (HOP)* for The University of Texas of the Permian Basin (UT Permian Basin) which can be found at the following website: <http://www.utpb.edu/administration/operating-procedures/>.

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

Ethical Conduct

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

The State of Texas and UT System have defined numerous ethical standards that apply to UT Permian Basin employees. UT System's Ethics Policy is included in the next section of this handbook. All employees should read the information on UT System's web page. This information can be accessed via the Internet at the following location: <http://www.utsystem.edu/OGC/ethics/homepage.htm>.

Department heads and budget authorities should encourage employees to discuss ethical issues with their supervisors. If a supervisor does not know the answer to an ethical question, the supervisor should call UT Permian Basin's Compliance Officer, the Vice President for Business Affairs or the Assistant Compliance Officer.

For more information on ethical conduct, read the Standards of Conduct Guide at: http://www.utpb.edu/media/files/compliance/SOC_Guide_2.doc.

UT System Ethics Policy (summary)

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

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

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

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

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

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

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

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

Financial Stewardship

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

Preparation and review of monthly departmental account reconciliations

Departmental account reconciliations are a comparison of a department's monthly Statements of Account to supporting documentation retained in the department's files.

This mandatory control procedure (1) ensures the accuracy of a department's Statements of Account and (2) deters fraudulent financial activities.

Department heads and budget authorities may choose to delegate the preparation of monthly account reconciliations to an administrative assistant. To maintain proper segregation of duties, account reconciliations should not be delegated to an employee who also has the authority to approve financial transactions or handles cash or checks. If account reconciliations are delegated to another employee, the department head or budget authority must still perform a detailed review of the reconciliations--all questionable expenditures or credits on a Statement of Account should be thoroughly investigated and documented by the department head or budget authority. The person who reconciles and the department heads and/or budget authorities should sign and date account reconciliations to evidence their review and approval.

Transfer of account balances

UT Permian Basin budget policy allows budget authorities to transfer balances between accounts in some circumstances as follows:

Budget transfers are initiated by the requesting department on a Transfer Form. The purpose of the transfer and the "transfer to" sections must be completed at a minimum. If the source of the transfer is known, (e.g., from within a budget head's accounts) the "transfer from" section should be completed as well. If the source of the transfer is not known, the "transfer from" section may be left blank.

Transfers between funds are not permitted (no transfers from -14- to -19-, -19- to -26-, etc.). Transfers within restricted funds (-26-, -30-) and between accounts are not generally permitted because the restricted nature of the funds means that the monies are limited in expenditure to their original purpose. Transfers from fee funded accounts (-19-0100-xx) are not permitted for the same reason. Fee accounts must be expended for the purpose collected and within the account where the fees are deposited.

If the transfer requirements cause a problem, please talk to the Vice President for Business Affairs or the Administrative Assistant in the VPBA Office.

All transfers must be approved by the budget head and Vice President responsible for the area. The Vice President for Business Affairs must approve all transfers. The President must approve all transfers greater than \$5,000. A series of small transfers to avoid the signature limits is not acceptable!

Segregation of duties

Department heads and budget authorities should ensure segregation of duties in their departments or budget units. Segregation of duties means that no one person should (1)

review and approve DEFINE transactions, (2) enter and reconcile DEFINE transactions, (3) and have access to or handle cash, checks, or other valuable assets. Ideally, all three functions should be separated within a department or budget unit.

Annual Budget Process

UT Permian Basin follows a combined top down and bottom up planning and budget process. The vice presidents recommend broad strategic directions and institutional planning priorities to the president based largely on the University's and UT System's Strategic Plan as well as the shorter term, Compacts with UT System. Upon the president's approval of the broad strategic directions, they are disseminated throughout the University for use in School/College and departmental planning. This dissemination occurs through established structures such as Academic Council in the Academic Affairs Division and through the Directors' Meetings in the Business Affairs and Student Services Divisions.

Schools/Colleges and departments early in the fall semester identify their planning and budget requests for the next budget year. This information is tied to the University's Compact initiatives and are related to the broad strategic directions and/or carefully documented in terms of any unique departmental requests that fall outside those broad strategic directions. In the latter category, replacement of department specific equipment might be requested.

Late in the fall semester, deans and directors meet for a series of internal fall budget hearings. Budget heads present their goals and resource allocation requests for the following budget year. In order to understand the scope of the needs and requests, the president, vice presidents, and the members of the campus Budget and Planning Committee typically attend the hearings. Later in the year the presentations inform the work of the Budget and Planning Committee which is charged with making budgetary and strategic planning recommendations to the president.

Effective Operations

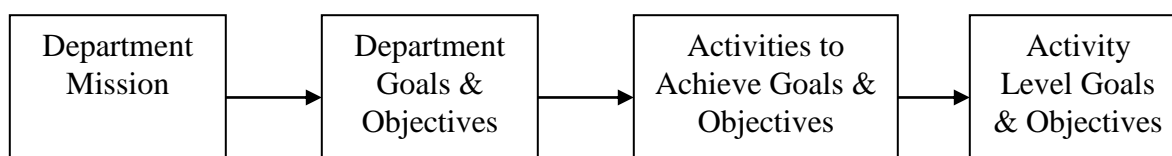
Goals and objectives.

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

- *Operations objectives.* These objectives pertain to the achievement of the basic mission(s) of a department and the effectiveness and efficiency of its operations, including performance standards and safeguarding resources against loss.

- *Financial reporting objectives.* These objectives pertain to the preparation of reliable financial reports, including the prevention of fraudulent public financial reporting.
- *Compliance objectives.* These objectives pertain to adherence to applicable policies, procedures, laws and regulations.

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



Departmental policies and procedures manual.

Each department and budget unit is expected to have a policies and procedures manual. A policies and procedures manual should address policies that are unique to the department or budget unit and procedures to implement institutional policies and procedures, in addition to procedures that will allow continuation of operations in the event of unexpected absence or vacancies of staff.

Institutional effectiveness.

The Southern Association of Colleges and Schools -Commission on Colleges requires member institutions to document quality, effectiveness and ongoing improvement by employing a comprehensive system of planning and evaluation in all major aspects of an institution. Departments and budget units should have guidelines and procedures to evaluate operations including institutional effectiveness reflective of the institution's mission statement. For example, the evaluation of academic programs should involve gathering and analyzing both quantitative and qualitative data that demonstrate student achievement. Most importantly, the results of evaluations should be used to improve operations. Please refer to the SACS website at <http://www.utpb.edu/sacs/> for more information. Specific questions on Institutional Effectiveness should be directed to the Director of Institutional Effectiveness.

Approval of purchases, expenditures, and personnel appointments.

UT Permian Basin’s purchasing, accounting, and human resources system (collectively, the “DEFINE” administrative system) is accomplished through a paper and paperless system. Some “documents” are routed and approved electronically within the DEFINE administrative system. A department head or budget authority approves an electronic document by typing “APP” in a designated field and pressing ENTER. Department heads should remember three important points when approving documents:

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

Management of account balances.

Department heads and budget authorities are responsible for monitoring and managing their account balances to ensure that expenditures do not exceed available balances. The “GB2” screen in the DEFINE administrative system provides a real time on-line summary of budgeted amounts, expenditures, encumbrances, income, and free balances. DEFINE user training is available through the Office of Human Resources.

Internal Control

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

Control environment.

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

Risk Assessment.

Risk assessment is the identification and analysis of risks to the achievement of a department's or budget unit's operational, financial, and compliance goals and objectives. Department heads and budget authorities should work with UT Permian Basin's Compliance Office to complete a risk assessment process for their area in order to identify risks, probability of occurrence, impact, control activities and monitoring plans.

Control activities.

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

Information and communication.

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

Monitoring.

Monitoring is the continuous assessment of internal control performance over time; it is accomplished by ongoing monitoring activities and by separate evaluations of internal control such as control self-assessments, quality assurance reviews and compliance inspections. UT System's Action Plan to Enhance Internal Controls requires that every department issue a self-assessment report on internal control to its applicable division head each year (with a copy to UT Permian Basin's Compliance Director). Finally, every department and budget unit should expect its system of internal controls to be reviewed by UT Permian Basin's Compliance Office on a rotating schedule basis.

Compliance with Laws, Regulations, Policies and Procedures

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

Conflict of Interest

UT Permian Basin faculty and staff are required to comply with the UT System Board of Regents' *Rules and Regulations*, Rule 30104 Conflict of Interest. The UT Permian Basin Conflict of Interest Policy may be found at: <http://ba.utpb.edu/compliance/conflict-of-interest/>. Every full-time and part-time employee of the university including student workers are required to document acceptance of the provisions of the policy by signing and returning an acknowledgement form to the office of the Vice President for Business Affairs. The form is located on the website containing the policy.

Financial Disclosure

Annually, as required by UT System Policy UTS110, each employee who is authorized to execute contracts on behalf of UT Permian Basin, or who exercises discretion with regard to the award of contracts or other pecuniary transactions, shall file a financial disclosure and conflict of interest statement disclosing the requested information regarding the filer, the filer's spouse, and the filer's dependent children. The completed forms are forwarded through the appropriate Vice President's office to the President.

Business Contracts

The Director of Purchasing is responsible for the review and processing of all financial and non-financial contracts, except grant funded and sponsored research contracts which are reviewed by the Office of Graduate Studies and Research. All contracts, regardless of dollar amount, must be reviewed prior to execution and must be signed by a University officer with delegated signature authority. Questions should be directed to the Director of Purchasing.

Endowment Management

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

The endowment agreements signed by the donor and Federal, State, UT System, and UT Permian Basin policies specify rules and guidelines that regulate and reinforce good stewardship. They define how endowment distributions must be used, mitigating unused accumulations, and maintaining a balance in DEFINE of no more than two times the annual distribution by the end of the academic year for faculty positions and student support; for facilities endowments, the balances must be no more than four times the annual distribution. Policies mandate that each year endowment distributions are to be used entirely for the purposes outlined in the endowment agreement and in institutional policy. Budget authorities are required to provide documentation on exceptions to the rules to the Office of Institutional Advancement.

Budget authorities are required to provide annual stewardship reports to endowment donors through the Office of Institutional Advancement documenting how the funds were utilized for the benefit of students, faculty, or programs. In addition, an annual report is submitted by the university to the Office of Development and Gift Planning to be presented to the Chancellor and the Board of Regents of UT System. The report details endowments with unspent distributions, excessive balances in the local endowment accounts, and unfilled academic positions.

Specialized training for budget authorities and/or their designees and online resources for endowment policies is available from the Office of Institutional Advancement.

Copyright Laws

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

Records Retention

Department heads and budget authorities should ensure that records are retained in accordance with the State of Texas records retention requirements. General categories for departmental retention include:

- Administrative records.
- Electronic data processing records.
- Employment records.
- Fiscal records.
- Support Services records.
- Student records.
- Police records.

Always consult UT Permian Basin's records retention schedule which is available at http://www.utpb.edu/media/pdf/presidentsoffice/records_retention_schedule.pdf.

Specific questions about records retention requirements should be directed to the Vice President for Business Affairs Office.

Records Storage and Disposal Policy

The Physical Plant at UT Permian Basin offers storage space for departments to store old files until the actual destruction date is met. The records must be handled per the UT Permian Basin Records Retention Schedule.

Specific questions about records disposal should be directed to the Vice President for Business Affairs's office.

Protecting the Confidentiality of Social Security Numbers

It is the policy of U T Permian Basin to protect the confidentiality of social security numbers without creating unreasonable obstacles to conducting business. There are procedures to follow when a social security number is collected. UT System policy on protecting the confidentiality of social security numbers can be found at:

<http://www.utsystem.edu/policy/policies/uts165.html>.

Questions about the policy should be directed to the university's Information Security Officer.

Texas Public Information Act

Written requests for documents under the Texas Public Information Act should be directed to the Vice President for Business Affairs (VPBA) immediately upon receipt and handled pursuant to the provisions of the Act. The VPBA consults the Office of General Counsel to determine whether prior decisions of the Attorney General answer any questions concerning a request for documents. If there is no previous opinion of the Attorney General that determines whether the requested material falls within one of the exceptions to disclosure, a request for an opinion of the Attorney General determining whether the information comes within an exception must be sought within ten (10) business days of the receipt of the request for information. Generally, student records are confidential records. Student disciplinary records are to be maintained separate from the student's academic records and are also confidential. More information on how to handle open records requests can be found at:

<http://www.utsystem.edu/OGC/openrecords/openrecordstoc.htm>.

Questions should be directed to the Vice President for Business Affairs.

Media Relations

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

Use of UT Permian Basin Registered Marks

Only official registered marks of the university may be used in the production of printed materials, promotional items, etc. The registered marks include the university logos, athletic logos and the university name. Use of these marks for printed materials is

managed by the UT Permian Basin Purchasing Department to maintain consistency with university standards and policies. Use of these marks for promotional items, uniforms, etc. may be reviewed by the UT System Office of Trademark Licensing.

For more information, UT Permian Basin's trademark policy may be found at: <http://ba.utpb.edu/purchasing/trademark-policy/>.

UT System Fraud Policy (UTS 118)

Purpose

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

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

Definitions

Terms used in the policy are defined as follows:

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

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

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

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

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

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

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

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

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

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

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

1. General

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

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

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

1.3 Management shall establish and maintain a system of internal control that provides reasonable assurance that improprieties are prevented and detected. Each

manager must be familiar with the types of improprieties that might occur in his or her area and be alert for any indication that such a defalcation, misappropriation, or other fiscal irregularity has occurred.

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

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

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

1.7 The Chief Administrative Officer shall notify the appropriate Executive Vice Chancellor of criminal activity, as appropriate.

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

1.9 In accordance with the Board of Regents' Rules and Regulations, Rule 80601, the appropriate Chief Business Officer will notify the Executive Vice Chancellor of Business Affairs as soon as it is known that a loss has occurred for approval of all insurance and fidelity bond claims.

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

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

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

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

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

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

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

2. Audits/Investigations

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

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

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

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

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

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

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

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

3. Operational Audit Findings

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

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

Summary of Operating Procedures and Guidelines

Environmental Health & Safety

Department heads and budget authorities are responsible for workplace safety in their respective areas including training, safety equipment and personal protection equipment, environmental protection and accident prevention. If a department head or budget authority has a question about environmental health and safety laws and regulations, he or

she should contact UT Permian Basin's Safety Coordinator and review the website at: <http://ba.utpb.edu/environmental-health-safety/>.

Emergency Guidelines.

UT Permian Basin's Emergency Preparedness Plan is available at: <http://www.utpb.edu/media/pdf/environmentalhealthsafety/chapter8emergencypreparedness.pdf>. These guidelines cover roles and responsibilities of faculty and staff in the event of a campus emergency (e.g., fire, bomb threat, inclement weather, and medical emergency). Faculty members should review emergency guidelines with students at the beginning of each semester. UT Permian Basin's emergency telephone number is ext. 2787. Drills (fire, tornado, or bomb) will be held during the course of the year to familiarize all employees with routes and procedures. Department heads will ensure that all employees know appropriate evacuation routes and participate in drills. Faculty members are expected to advise students of appropriate evacuation routes from the classroom.

Disaster Recovery Plans.

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

Departmental Safety Liaisons.

Each department head should appoint an individual to ensure compliance with UT Permian Basin safety procedures. This individual will help disseminate safety information and sponsor safety training in departments. Information provided for employees may be found in the UT Permian Basin Safety Manual found at: <http://ba.utpb.edu/environmental-health-safety/utpb-safety-manual/>.

Workers' Compensation Claims.

The Office of Human Resources will help employees obtain Workers' Compensation benefits when an employee has been injured on the job. Human Resources will also assist departments with adhering to the rules and regulations of the Texas Workers' Compensation Act. In the event of an on-the-job injury (including student workers), notify the following departments: University Police if emergency response and transport is needed and the Office of Human Resources. This notification must be done within 24 hours of the injury. Information about UT Permian Basin's Workers' Compensation program may be found at: <http://ba.utpb.edu/media/files/human-resources/policies-and-procedures/workerscompensationinsuranceprogram.pdf>.

Special Events.

Special Events can be any event that occurs that is outside of the day-to-day normal operations of UT Permian Basin. Special Events are usually short-term, and they can expose UT Permian Basin to increased direct or indirect risks. Examples include fundraisers, concerts, sporting/athletic events involving outside parties, political events, conferences, camps, etc. The budget authority should start with identifying risks, mitigating factors, and departments that need to be included in the planning process. Information on room reservations and other tips for planning may be found at <http://ba.utpb.edu/physical-plant/general-information/>. In addition, the office of the Vice President for Business Affairs should be contacted regarding insurance requirements and the Office of Continuing Education should be consulted to determine whether the event should be coordinated through that office.

Student Injuries.

Student injuries should be reported to the University Police Department who will call the Office of Environmental Health & Safety (EH&S) as needed. All accident reports written by the Police Department should be forwarded to EH&S for review.

Laboratory Safety.

The UTPB Safety Manual is available at: <http://ba.utpb.edu/environmental-health-safety/utpb-safety-manual/>. This manual covers chemical, biological, radiation, and physical safety in departmental laboratories. Faculty members are expected to incorporate these guidelines into their course curricula.

Laboratory Safety Inspections.

Laboratory safety inspections are required to be conducted using the “Laboratory Safety Evaluation” form found at: <http://www.utpb.edu/media/pdf/environmentalhealthsafety/appendixc.pdf>. Teaching laboratories shall be inspected by the lab staff, research labs shall be inspected by the faculty member to whom the lab is assigned. Quarterly inspection reports are to be sent to the Office of Environmental Health and Safety. All labs will be inspected annually by the Office of Environmental Health and Safety and the Laboratory Policy and Safety Committee. If deficiencies are noted that cannot be corrected during the inspection, a follow-up inspection will be performed at sixty days, and every 60 days thereafter, until said deficiencies are corrected. If a situation is discovered during an inspection that poses an immediate threat to employee or public health, the Office of Environmental Safety & Health may order all operations in the lab to cease. Inspection reports shall be sent to the Dean of the College of Arts & Sciences and to the person responsible for the lab.

Laboratory Waste Management Guidelines.

UT Permian Basin's Laboratory Waste Management Guidelines are located at: <http://www.utpb.edu/media/pdf/environmentalhealthsafety/chapter13hazardousmaterialsmanagment.pdf>. These guidelines cover the collection and disposal of chemical, biological, and special materials.

Financial Services

Accounts Payable

The Accounts Payable function at UT Permian Basin is centralized. Accounts Payable originates electronic vendor payment documents based on supporting purchase orders, receiving reports, and invoices received. Upon approval, the electronic document automatically routes to other Accounting staff, where it is reviewed for appropriate expenditure object codes and payment terms/dates. Documents with discrepancies are returned to the Accounts Payable staff for correction. Upon final approval of the document, the payment date is automatically scheduled in DEFINE. Vendor checks are printed in the Cashier's Office on Tuesday and Thursday based on the scheduled payment dates. The voiding and/or reissuing of vendor checks are handled through the Accounting office.

Accounts Payable questions should be directed to the Office of Accounting.

Cash Accounting

Accounting is responsible for managing the University's banking relationships, reconciling the University's bank accounts, and providing various services to the campus community such as (1) researching lost or stolen checks, (2) issuing stop payments on stolen checks or checks lost 10 or more days, (3) voiding checks that have been lost or processed in error, (4) issuing check copies, and (5) processing wire transfers.

Questions should be directed to the Office of Accounting.

Cash Management

Timely Deposits. Money received by all departments from all sources shall be deposited in the Office of Accounting at UT Permian Basin. Deposits shall be daily if the receipts are \$100 or more, and weekly, even if the accumulation is less than \$100. Except in the case of special arrangements approved by the Vice President for Business Affairs, the deposit shall be made in person by a departmental representative to whom an official receipt will be issued.

Petty cash accounts. UT Permian Basin’s policy is to discourage the use of petty cash accounts. In lieu of petty cash accounts, UT Permian Basin provides Purchasing Cards for small purchases. Petty cash accounts require the annual approval of the Vice President for Business Affairs.

Separate checking accounts. UT Permian Basin policy does not permit anyone to open or use a separate checking account for activities associated with UT Permian Basin, including student clubs.

Historically Underutilized Business Program (HUB)

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

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

<u>Procurement Category</u>	<u>HUB Purchases as a % of Total Purchases</u>
Heavy construction	11.9%
Building construction	26.1%
Special trades construction	57.2%
Commodities	12.6%
Professional services	20.0%
Other services	33.0%

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

HUB Reports and Training. The Purchasing Department monitors HUB purchases monthly. Purchasing, also, periodically coordinates HUB vendor meetings to introduce departmental personnel to certified HUB vendors. The meetings, which are available to all faculty and staff, provide assistance with HUB program compliance.

Questions about the HUB program should be directed to the HUB Coordinator or the Purchasing Department.

Interdepartmental Transfers

Interdepartmental Transfers are initiated by service departments based on service requests or work orders. Interdepartmental transfers are used for transactions such as postal charges, copier charges, room setup, and maintenance charges.

For further information contact the Office of Accounting or the Office of the Vice President for Business Affairs.

Payments to Individuals and Consultants

Payments to individuals - employees. The budget authority must approve payments to UT Permian Basin employees for services unrelated to or over and above their regular job duties on an Authorization of Personal Services form available at:

http://www.utpb.edu/media/files/university-forms/main_professional_services_form.pdf

prior to the engagement of such services. All payments to employees are subject to withholding and employment taxes.

Payments to individuals - other than UT Permian Basin employees. Payments may be approved by the department head or budget authority after the department head or budget authority (1) completes a UT Permian Basin Authorization of Personal Services form and the appropriate employment form prior to the engagement of such services and (2) forwards both forms to Payroll. Both forms are needed to comply with Internal Revenue Service (IRS) rules and regulations.

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

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

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

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

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

Questions should be directed to the Director of Human Resources.

Payroll Procedures

Employee Appointments. *Full time employees* are paid a monthly salary following completion of appointment on the DEFINE system and completion of all required Human Resources forms. Appointments approved after processing deadlines will pay retroactively on the next payroll. Although full time employees are paid on a monthly basis, they must work the entire month to be entitled to a full month's pay. Overpayments may occur if the supervising department fails to change an appointment for a full time employee whose accrued leave is exhausted or for a summer class that is cancelled and the corresponding faculty appointment is not cancelled prior to payroll processing deadlines. Most *part time employees* are paid hourly wages on a semi monthly payroll following completion of an appointment and completion of all required Human Resources forms. Supervising departments are responsible for reviewing and approving timesheets and submitting hours worked prior to posted payroll processing deadlines. Part time employees will receive their paychecks late if the supervising department fails to submit timesheet data.

Payroll questions should be directed to the Office of Human Resources.

Property and Equipment

Capital equipment inventory. Equipment purchases with a per unit cost of \$500 or more for controlled assets (e.g. cameras, VCRs, TVs, fax machines, audio-visual equipment, computer equipment, data projectors) and a per unit cost of \$5,000 or more for non-controlled assets (i.e., durable assets with a useful life greater than one year) must be tagged, inventoried, and physically verified at least annually. The Stores Supervisor in Central Stores is responsible for tagging new equipment. Department heads and budget authorities are responsible for physically verifying the accuracy and completeness of their capital equipment listings each year and for reporting any changes to the Stores Supervisor.

Disposal of capital assets. When a capital asset becomes obsolete or useless for the needs and purposes of a department or budget unit, it should be transferred to Physical Plant's Central Warehouse if it is an item of furniture or is not computer related equipment. Computer related equipment should be transferred to the Information Resources Division. A "Report of Transfer of Equipment" form should be completed and forwarded to Central Stores when capital equipment is transferred to the Central Warehouse or another University department. This form can be found at <http://www.utpb.edu/media/files/university-forms/742-t.pdf>. If the Director of Physical Plant determines that items in the Central Warehouse are not needed for future use, the items will be disposed of in accordance with state law and Regents' *Rules and Regulations*.

Safeguarding assets. Department heads and budget authorities are responsible for securing and safeguarding all university assets in the possession of their departments or budget units. Missing or stolen property should be reported to (1) the University Police

and (2) Central Stores. If a university asset is lost, destroyed, or damaged as a result of the negligence or the fault of a UT Permian Basin employee, Government Code Section 403.276 requires that the loss, destruction, or damage be reported to the state auditor and attorney general. If the attorney general concludes that the UT Permian Basin employee was at fault, the attorney general will require the employee to reimburse UT Permian Basin for the loss sustained.

Questions should be directed to the Stores Supervisor in Central Stores.

Purchasing Procedures

Purchasing at UT Permian Basin is centralized. University departments may process orders up to \$2,000, with a few exceptions, through the electronic purchasing system. The Purchasing Department processes exceptions and all orders in excess of \$2,000.

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

Department and budget units may use the State of Texas Procurement Card for purchases up to \$500 (*see Procurement Card Purchase Program section*).

Procurements that do not conform to the State of Texas purchasing requirements are required to be paid out of local funds. Procurements that do not conform to UT Permian Basin purchasing requirements must be approved by the President or the Vice President for Business Affairs.

Purchasing Rules and Guidelines.

Purchasing Matrix:

All Accounts	Bid Requirement	Purchase Requisition Document
\$0 - \$2,000	Bids Not Required, Department Does Electronic Requisition	<u>PBO</u> (Small Order) P.O. # on PBO Screen
\$2,001 or greater	U T Permian Basin Purchasing Solicits Written quotes, Bids, or Proposals	<u>PB4</u> (or \$0 - \$2,000 for a P.O. to be mailed to Vendor)
Goods and Services on State Contract No Dollar Limit OPTIONAL	Bids Not Required Note: Minimum Order Requirements	<u>PB7</u> for Automated Contracts <u>PBO</u> or <u>PB4</u> For Non-Automated Contracts

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

Purchases from an employee. Purchases up to \$2,000 from an employee of supplies, materials, services, equipment, or property must have (1) the prior approval of the

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

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

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

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

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

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

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

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

- (1) there is a bona fide dispute between the University and a vendor, contractor, subcontractor, or supplier about the goods delivered or the services performed that causes the payment to be late;
- (2) there is a bona fide dispute between a vendor and a subcontractor or between a subcontractor and its supplier about the goods delivered or the services performed that causes the payment to be late;
- (3) the terms of a federal contract, grant, regulation, or statute prevent the governmental entity from making a timely payment with federal funds; or

- (4) the invoice is not mailed to the person to whom it is addressed in strict accordance with any instruction on the purchase order relating to the payment.
Source: Texas Government Code 2251.002.

All exceptions must be completely documented.

Purchasing questions should be directed to the Purchasing Department.

Procurement Card Purchase Program

The purchasing card is intended to offer an alternative payment method for purchases that are under \$500. Each individual card has a credit limit of \$500 per billing cycle and a transaction default limit of \$200. The transaction limit may be **changed** with budget authority approval. The purchasing card may be used to purchase the following items or services: Office supplies, research supplies, or miscellaneous items that are not available from the Texas Industries for the Blind and Handicapped (TIBH). The purchasing card may not be used for travel, entertainment, controlled or hazardous materials, and certain other restricted purchases outlined in the procurement card guidelines. Applications for procurement cards are available in the Purchasing Department. Each applicant will be required to complete a card set-up form and is responsible for using the card for authorized purchases only. A complete list of guidelines and the university's Procurement Card Policy will be provided to those approved for procurement card usage. Departments are encouraged to make procurement card purchases from certified HUB vendors.

Purchasing questions should be directed to the Purchasing Department.

Report Distribution

Accounting is responsible for distributing voucher printouts and monthly statements of accounts requested via DEFINE.

For assistance, contact the Office of Accounting.

Travel

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

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

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

1. Travel to Washington, D.C. may require notification to the UT System Office of Federal Relations in advance of the trip, depending on the purpose of the travel. Travelers to Washington, D.C. should contact the travel coordinator in the office of the Vice President for Business Affairs for determination whether notifications is necessary. Information needed to make that determination includes the name of the traveler, contact information, dates of travel, reason to travel and contacts that will be made. Additional documentation may be necessary.

2. Foreign travel, other than Canada, Mexico, U.S. territories (Virgin Islands and Guam), and U.S. protectorates (Jamaica) must be authorized in advance and may require special documentation. The travel coordinator in the office of the Vice President for Business Affairs should be contacted regarding specific requirements for the travel.

For more specific instructions regarding travel authorizations, refer to the University's travel policies and procedures located on Accounting's website at:
<http://ba.utpb.edu/accounting/travel/>.

Cash Advances. The University does not provide cash advances to travelers. In lieu of cash advances, UT Permian Basin's authorized travel agent centrally bills the University for airfare and rental cars.

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

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

Travel rules and reimbursement rates can be found on Accounting's website at
<http://ba.utpb.edu/accounting/travel/>.

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

Local Funds. Travel rules for local accounts are the same as rules for state accounts unless prior approval is obtained from the Vice President for Business Affairs.

Travel questions should be directed to The Office of Accounting.

Human Resources Management

General

The following procedures must be followed by budget authorities:

Hiring.

The hiring process consists of (1) completing the Staff Requisition Form; (2) approving a position's job description/specification; (3) posting the position; (4) advertising the position, if needed, to generate a reasonable applicant flow; (5) receiving electronic resumes or applications for classified and administrative positions (regular resumes and applications for all other positions); (6) evaluating qualified candidates; (7) interviewing the best qualified candidates; (8) completing the Request to Make an Offer form when ready to extend an offer; (9) completing Criminal Background Check Form on final candidate; (10) extending a job offer to the best qualified candidate; (11) acceptance of the job offer by the candidate; (12) informing other applicants who were interviewed but not selected that someone else was hired; and (13) entering the personnel appointment into the electronic administrative system.

Human Resources must have an approved job description/specification on file before it posts a position. Budget authorities must also complete a Staff Requisition Form before a job can be posted. All non-faculty positions to be filled must be posted by Human Resources for at least five (5) consecutive working days. All position advertisements must be approved by Human Resources prior to placing the advertisement. Human Resources must receive all non-faculty resumes and applications. **The hiring authority must complete the Request to Make an Offer Form and have it approved by the President prior to extending a job offer.** Written job offers/confirmations must be approved by Human Resources prior to mailing. Finally, copies of written job acceptances should be forwarded to Human Resources for approval.

Classified and administrative positions are classified as security-sensitive and require a Criminal Background Check. The Office of Human Resources will request and review the criminal history of the candidate who accepts the offer of employment. Criminal history requests are to be made, after receiving approval to hire an applicant. A candidate may begin work at the University before the results of the security screening

have been received but the offer letter should contain a statement that employment is contingent on a satisfactory criminal history report.

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

Form I-9.

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

Workforce diversity.

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

Classified employee personnel pay plan.

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

New employee orientation.

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

UT Permian Basin benefits.

UT Permian Basin benefits include the following:

- Employee group insurance and health benefits (medical, prescription drugs, dental, and vision).
- Life and accidental death and dismemberment insurance.
- Disability insurance.
- Vacation and sick leave.

- Teacher Retirement System (faculty, professional librarians, major department heads, and certain professional positions are eligible to participate in an Optional Retirement Program).
- Flexible spending account.
- Longevity pay.
- Tax sheltered annuities.
- Membership at University Gym and Pool.
- Employee scholarships to attend classes at UT Permian Basin.

The Office of Human Resources is available to answer questions about UT Permian Basin benefits.

New employee probationary period.

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

Employee training.

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

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

Employee scholarships.

As a career development program, UT Permian Basin provides tuition scholarships for employees who desire to enroll and take classes at UT Permian Basin. Scholarships are limited to three credit hours per semester. Scholarships are awarded at the beginning of the semester for UT Permian Basin courses. A supervisor may allow an employee to spend a portion of an employee's workday in class. The supervisor's decision depends on circumstances in the department (e.g., the ability to cover for an employee while he or she is in class). The employee will be required to make up the time during the regular work week. An employee should not plan to take more than one course during working hours. Employees desiring to take courses at UT Permian Basin must apply for admission in the Admissions Office.

Employee grievances.

Department heads and budget authorities are responsible for handling employee grievances in accordance with UT Permian Basin's Grievance Policy. The Grievance Policy is included in the Handbook of Operating Procedures.

Overtime.

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

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

Equivalent time.

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

Vacation.

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

<u>Employees with Total State Employment of</u>	<u>Hours Accrued per Month for Full-Time Employment</u>
0 but less than 2 years	8
2 but less than 5 years	9
5 but less than 10 years	10
10 but less than 15 years	11
15 but less than 20 years	13
20 but less than 25 years	15
25 but less than 30 years	17
30 but less than 35 years	19
35 or more years	20

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

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

All unused accrued vacation hours in excess of carry-forward limits are credited to an employee’s sick leave balance. Unused accrued vacation is paid to employees when they

terminate employment with the State of Texas provided the employee has had continuous employment with the State for six months.

Longevity Pay.

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

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

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

Sick leave.

With the exception of positions that require student status as a condition of employment, all full-time employees (employees who are appointed for at least 20 hours per week for four and one-half months or more) earn sick leave entitlement beginning on their first day of employment at a rate of eight hours for each month of service for full-time employees and a proportionate amount if employed on less than a full-time basis. Sick leave with pay may be taken for absences necessitated by personal sickness, injury, pregnancy, or when an employee is needed to care for and assist an immediate family member who is ill, or by exposure to a contagious disease requires quarantine or isolation of either the employee or his or her immediate family.

An unearned sick leave advanced and taken by an employee shall be deducted from the employee’s accrued vacation. If the vacation hours are exhausted, the employee will be placed on leave without pay and the corresponding amount of unearned leave will be deducted from the employee’s monthly paycheck. Employees do not receive payment for accrued sick leave when they terminate employment at UT Permian Basin. However, in the case of the death of an employee who has an accrued sick leave balance, his or her estate will be paid for one-half of the accrued sick leave balance or 336 hours, whichever is less.

Sick leave pool.

The Office of Human Resources administers a sick leave pool for UT Permian Basin employees. UT Permian Basin’s sick leave pool policy is included in the Handbook of Operating Procedures. The Office of Human Resources manages the Sick Leave Pool.

Time and leave records.

Department heads and budget authorities should maintain time and leave records for all non-exempt employees. Vacation, sick leave, compensatory, equivalent, and floating holiday balances are maintained in the DEFINE administrative system.

Performance evaluations.

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

Employee discipline and dismissal.

Department heads and budget authorities are responsible for disciplining employees in accordance with UT Permian Basin's Employee Discipline and Dismissal Policy. The Employee Discipline and Dismissal Policy are included in the Handbook of Operating Procedures.

Holidays.

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

Leaves of absence without pay.

With the interest of UT Permian Basin being given first consideration and for good cause, leaves of absence without pay may be granted for a period within the term of appointment of a member of any faculty or staff, subject to the general conditions included herein. Leaves of absence for a first year or portion thereof or a second consecutive year's leave may be granted by the President. Leaves of absence for a third consecutive year will be granted only for the reasons outlined in this policy following review and approval by the Vice Chancellor for Academic Affairs. The maximum period for which a leave of absence will be granted is the end of the fiscal year in which the leave begins. In the case of faculty, the date for return to duty will generally coincide with the beginning of the next semester, following the period of absence.

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

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

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

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

Upon expiration of Family and Medical Leave, an employee may be eligible for a leave of absence under this section. For leave of absence to participate in a political campaign, faculty development leave, parental leave, sick leave, leave for jury duty, leave for military duty, and leave related to on-the-job injury, contact the Office of Human Resources for information and details.

Faculty development leave.

Faculty development leaves for faculty members may be granted as set out in UT System Board of Regents' *Rules and Regulations*, Rule 30201, Section 4.

Leave for jury duty.

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

Leave for military duty.

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

A leave of absence with full pay shall be provided any employee who is called to active duty with the National Guard by the Governor of Texas. Such leave shall in no way be charged against the employee's vacation or sick leave privileges. An employee retains any accrued sick or vacation leave and will be credited with those leave balances upon return. However, during such leaves of absence, the employee shall accrue state service credit, but shall not accrue vacation or sick leave.

Family and medical leave.

Any eligible employee, whether faculty, classified, or administrative, may request and receive a leave of absence without pay for up to twelve weeks per year for family and medical reasons specified by the Family and Medical Leave Act of 1993. Compensatory

time, if applicable, as well as sick leave and vacation leave must be used in conjunction with the twelve-week FMLA period. Eligibility criteria are defined in the Act. In short, an eligible employee must have been employed by the State of Texas for twelve months and must have worked at least 1,250 hours during the twelve-month period immediately preceding the commencement of leave. A qualified purpose for FMLA leave is:

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

Time off to vote.

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

Funeral/Emergency leave.

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

Personnel records.

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

Merit Increases.

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

Promotions.

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

Sexual harassment and misconduct.

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

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

Outside employment.

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

The primary responsibility of faculty and staff of UT Permian Basin is the accomplishment of the duties and responsibilities assigned to one's position of appointment; external consulting or other outside employment that interferes with those duties and responsibilities should not be accepted. In connection with any outside employment, faculty and staff must comply with State laws governing the conduct of State employees, including ethics standards and provisions prohibiting conflict of interest and use of State resources.

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

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

Every member of the faculty or staff who gives professional opinions must protect UT System and UT Permian Basin against the use of such opinions for advertising purposes. If the employee does work in a private capacity, the employee must make it clear to those who employ him or her that the work is unofficial and that the name of UT System or UT Permian Basin is not in any way to be connected with the employee's name, except when used to identify the employee as the author of work related to the employee's academic or research area as more fully described in Rule 90101 of the Regents' *Rules and Regulations* concerning general rules for intellectual property.

No member of the faculty or staff shall accept pay from private persons or corporations for tests, assays, chemical analyses, bacteriological examinations, or other such work that involves the use of property owned by UT Permian Basin, unless advance permission has been obtained from the President and provision has been made for compensation to UT Permian Basin.

No member of the full-time faculty or staff employed by UT Permian Basin on a twelve-month or nine-month basis shall be employed in any outside work or activity or receive from an outside source a regular retainer fee or salary until a description of the nature and extent of the employment has been filed with and approved by the President.

Subject to the other provisions of Regents' *Rules and Regulations*, Rule 30103, a member of the faculty or staff of UT Permian Basin may hold other non-elective offices or positions of honor, trust, or profit with the State of Texas or the United States if holding the other offices or positions is of benefit to the State of Texas or is required by state or federal law, and if there is no conflict between holding the office or position and holding

the office or position with UT Permian Basin for which the member of the faculty or staff receives salary or compensation.

Before a member of the faculty or staff of UT Permian Basin may accept an offer to serve in other non-elective offices or positions of honor, trust, or profit with the State of Texas or the United States, the member of the faculty or staff must obtain from the President and the Board a finding via the docket that the requirements of Regents' *Rules and Regulations*, Rule 30103 have been fulfilled. The docket entry shall also record any compensation the employee is to receive from the non-elective office or position, including salary, bonus, or per diem payment.

Dual employment and consulting.

Board of Regents approval is required by law before The University may simultaneously employ an individual who holds non-elective public office or is employed by another governmental agency. Approval cannot be given unless such dual employment is of benefit to the State or is required by law and if there is no conflict of interest involved.

Consulting fees and lecture fees, in addition to regularly budgeted salaries, will not be paid by UT Permian Basin for the service of an employee of another institution of The University of Texas System (other than allowable travel reimbursement) unless it is expressly found by the President that it is in the interest of UT Permian Basin and the State of Texas to do otherwise. Such exceptions shall be approved in advance by the President, as well as the president of the institution by whom the consultant or lecturer is employed.

Interagency Cooperation Contracts shall be used when requesting permission to hire personnel of other state institutions or agencies, insofar as practicable as determined by the President. If an Interagency Contract is not used, such payments may be made under the provisions listed above. The written prior approval of the President and the written approval of the chief administrative officer or agency head of the supplying institution or agency must be obtained. Copies of both of these authorizations shall accompany the payment voucher.

Consulting or employment of University employees by industry or the private sector are governed by Board of Regents' *Rule* 30103. These rules apply to persons who are employed full-time with UT Permian Basin. The first responsibility is to UT Permian Basin.

Any outside employment is in addition to normal UT Permian Basin employment. Outside employment is considered an overload and must not interfere with full-time obligations.

Outside employment must not involve conflict of interest or be in conflict with the individual's obligation to UT Permian Basin or The University's objectives. Prior approval must be obtained from either the President or the President's designee.

Nepotism.

No officer, official or employee of UT Permian Basin may approve, recommend, or otherwise act with regard to the appointment, reappointment, promotion, or salary of any person related to such officer, official, or employee within the second degree by affinity or the third degree by consanguinity regardless of the source of funds for payment of salary. This provision also includes individuals hired as private contractors. Further definition of the relationships may be found in Board of Regents' *Rules and Regulations*, Rule 30106 and in the *Texas Government Code*, Chapter 573.

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

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

These provisions shall apply to situations where two employees of UT Permian Basin marry and one spouse is the supervisor of the other.

Employee separation.

Employees terminating employment at UT Permian Basin must complete an Employee Separation Form (available in Human Resources); the form must be signed by the employee and his or her supervisor and returned to Human Resources. All employees are required to check out using the approved Check-Out Form requiring signatures for various offices on campus.

Employee assistance program.

UT Permian Basin provides help with personal or work-related problems that may be interfering with the quality of life or work performance through the on campus, Employee Assistance Program. The employee assistance program provides short term counseling and referral to outside resources when appropriate. It is *not* a treatment or rehabilitation facility. Costs associated with the employee assistance program are provided by UT Permian Basin. Costs incurred for services obtained from outside referral resources are the responsibility of the employee.

Policies of the employee assistance program are as follows:

- The program is available to all benefits-eligible faculty, staff, employees and retirees of UT Permian Basin no matter what their job title or responsibilities.
- The program is also available to dependents and families on a self-referral basis.
- Participation in the program does not jeopardize an employee's job security, promotional opportunities, or reputation.
- To the extent permitted by law, all records and discussions of personal problems are handled in a confidential manner. These records are kept by the external program personnel and do not become a part of the records kept by UT Permian Basin's personnel office.
- Employees may be referred to the program by supervisors to determine if personal problems are causing unsatisfactory job performance.
- All levels of management are encouraged to use the program, when appropriate, to assist in resolving job performance problems.
- Sick leave may be granted for treatment or rehabilitation on the same basis as for other health problems. Consideration is also to be given for the use of annual leave or leave without pay if sick leave is not available.

Employees may call (432) 552-2365 for more information about UT Permian Basin's employee assistance program.

Political activities.

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

Alcoholic beverages.

The use of alcoholic beverages is prohibited on property and in buildings and facilities owned or controlled by UT Permian Basin. However, the President may waive this prohibition with respect to any event sponsored by UT Permian Basin. An event is sponsored if a budgeted office, department, or division of UT Permian Basin is responsible for organizing the event, inviting attendees, and paying expenses related to the event, except that such an event is considered to be sponsored even if an outside entity pays for the food and beverages at the event. Meetings or events organized and presented by registered faculty, staff, or student organizations are not events sponsored by UT Permian Basin.

This policy does not apply to areas that are licensed under State law for the sale and service of alcoholic beverages, to special use facilities such as the Center for Energy and Economic Diversification, during use by a non-institutional individual, group, association, or corporation for purposes permitted by the Regents' *Rules and Regulations*, Rule 80106, or to property, buildings, or facilities that are occupied by a third party pursuant to a written lease or occupancy agreement that does not specifically exclude alcoholic beverages.

State law relating to alcoholic beverages will be strictly enforced at all times on property and in buildings owned or controlled by UT Permian Basin

Discipline and Dismissal of Classified Employees

1. Policy and Purpose. It is the policy of The University of Texas of the Permian Basin to encourage fair and efficient processes to resolve disputes arising out of the employment relationship and to meet the requirements of State and federal law.

The purpose of this policy is to provide a procedure for the discipline and dismissal of classified employees who are subject to its provisions. Classified employees are at-will employees who serve without tenure. No provision of the policy and procedures that follows shall confer rights to employees that are contrary to the employment-at-will doctrine.

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

- 2.1 Institutional police or faculty who are subject to other approved discipline or dismissal procedures;
- 2.2 Suspension with pay pending investigation of allegations relating to an employee;

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

3. Discipline and Dismissal Policy and Procedures.

3.1 Employee Standard of Conduct.

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

3.2 Conduct Subject to Disciplinary Action.

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

(b) **Unacceptable Conduct.**

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

- (1) falsification of time sheets, personnel records, or other institutional records;
- (2) neglect of duties;
- (3) smoking anywhere except in designated smoking areas;
- (4) gambling or participating in lotteries or any other games of chance on the premises at any time;
- (5) soliciting or collecting money or circulating petitions on the premises other than within the rules and regulations of the institution;
- (6) bringing intoxicants or drugs onto the premises of the institution, using intoxicants or drugs on the premises at any time, having intoxicants or drugs in one's possession on the premises at any time, or being under the influence of intoxicants or drugs on the premises at any time;
- (7) abuse or waste of tools, equipment, fixtures, property, supplies, or goods of the institution;
- (8) creating or contributing to unhealthy or unsanitary conditions;

- (9) violation of safety rules or accepted safety practices;
- (10) failure to cooperate with supervisor or co-worker, impairment of function of work unit, or disruptive conduct;
- (11) disorderly conduct, harassment of other employees (including sexual harassment), or use of abusive language on the premises;
- (12) fighting, encouraging a fight, or threatening, attempting or causing injury to another person on the premises;
- (13) theft, dishonesty, or unauthorized use of institutional property, including records and confidential information;
- (14) creating a condition hazardous to another person on the premises;
- (15) destroying or defacing institutional property or records or the property of a student or employee;
- (16) refusal of an employee to follow instructions or to perform designated work that may be required of an employee, or refusal to adhere to established rules and regulations; or
- (17) repeated tardiness or absence, absence without proper notification to the supervisor, or absence without satisfactory reason or unavailability for work.

3.3 Discipline Procedures.

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

- (a) The supervisor will review the evidence and the proposed disciplinary action with the Director of Human Resources or his or her designee.

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

3.4 Effect Upon Employee Benefits.

An employee who is demoted or suspended without pay continues to accrue vacation and sick leave, to be covered by group insurance, and to be entitled to other employee benefit programs. If a demotion or

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

4. Procedure for Appeal.

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

4.1 Naming of Delegate.

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

4.2 Challenges as to Fairness.

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

impartial in the consideration of the appeal, the vice president or administrative equivalent shall appoint another delegate(s).

4.3 Exchange of Information.

At least five (5) working days prior to the time set for the hearing, the institutional representative for the appeal and the employee shall furnish each other with the names of the witnesses to be called, a summary of their expected testimony, and a copy of each document, record or exhibit to be introduced at the hearing.

4.4 Chair.

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

4.5 Right to Representation.

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

4.6 Record of the Hearing.

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

4.7 Burden of Proof.

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

4.8 Evidence.

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

4.9 Witnesses.

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

4.10 Notification to Vice President.

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

4.11 Employee Notification.

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

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

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

5. *Records of Disciplinary Actions.*

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

6. *Authority/Related Policies.*

Regents' *Rules and Regulations*, Rule [30601](#)

Grievance Policies and Procedures

It is the policy of The University of Texas of the Permian Basin to encourage fair, efficient and equitable solutions for problems arising out of the employment relationship and to meet the requirements of state and federal laws.

Scope of Grievance Policy. Complaints concerning wage, hours of work, working conditions, performance evaluations, merit raises, job assignments, reprimands or the interpretation or application of a rule, regulation or policy shall not be processed through the Discipline and Dismissal Appeal Procedures. Such complaints will be considered on an informal basis in order to allow prompt correction or explanation of the subject of the complaint.

Probationary Employees Included. The complaint of all employees (except faculty) including probationary employees will be considered pursuant to the procedure provided below.

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

Procedure for Bringing a Grievance:

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

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

Written Appeal. If the employee is not satisfied with the decision of the department head or administrative equivalent, a written appeal stating why the appealed decision is incorrect may be made to the appropriate dean or administrative equivalent within five (5) working days or the date of the appealed decision; within ten (10) working days of the date of the appeal a written decision will be mailed to the employee.

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

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

Sick Leave Pool Policy

UT Permian Basin has adopted a Sick Leave Pool Policy which is located in the Handbook of Operating Procedures, Part III, Section 6. Questions about the policy should be directed to the Office of Human Resources.

Information Resources Management

Information resources must be recognized as a major UT System and UT Permian Basin asset which requires a degree of attention and protection commensurate with their value to the continuous operation of programs. Consequently, each Administrative Official and all employees they supervise are directly accountable and responsible for the proper management and protection of information resources which they generate, maintain or use.

The primary reason for managing information resources is to ensure that your department can provide continuous operations and meet its goals, objectives and performance measures under any conditions. To accomplish this, each administrative official is responsible for the following activities related to information resources:

- the physical security of all equipment assigned for use of or to staff in the department;
- the physical and access protection of all software to ensure proper licensing and/or owner authorization of usage;
- the physical and access security of all department owned data (databases and application programs) identified as critical for the operation of the department;
- the proper implementation and execution of controls prescribed by owners of multi-user applications; such as, payroll, procurement, etc.; and,
- the utilization of hardware, software and data for the benefit of only UT Permian Basin, UT System and the State of Texas.

The specific responsibilities of each employee of the UT System are detailed in the following documents and are summarized in the paragraphs below:

- UT System Policy UTS165 which reflects state law and Department of Information Resources guidelines on the use and protection of information resources.

- UT System Policy UTS139 which implements the Texas Public Information Act (Open Records Act) at UT System.
- Other UT Permian Basin and UT System policy and procedure statements dealing with records retention, and the appropriate use and disclosure of information

Responsibilities of Administrative Officers

Under the provisions of the Information Resources Management Act, Section 2054.001(a)(1) of the Texas Government Code, information and information resources possessed by agencies of the state government are strategic assets belonging to the residents of this state and are to be managed as valuable state resources. Administrative Officers are expected to know the value of the information for which they are responsible and take the appropriate steps to protect the valuable resources by establishing prudent and reasonable practices.

The following topics are intended to provide a condensed definition of the responsibilities of an Administrative Officer for managing information resources. The documents mentioned below should be read in their entirety and procedures communicated to employees.

Policy for the Use and Protection of Information Resources

UT System Policy UTS165

Congress passed The Computer Security Act of 1987 and in 1989 the State of Texas passed the Information Resources Management Act. Information Resources include all computer and telecommunications hardware, software, and networks owned, leased, or operated by UT System and the information stored therein (Information Resources).

It is the policy of UT System to protect these resources in accordance with the *Texas Department of Information Resources (DIR) Information Security and Risk Management Policy, Standards, and Guidelines* published in the *Texas Administrative Code*, Chapter 202.

Administrative Officers are responsible for complying with the Act as described in UTS165 and have the responsibility to properly instruct employees regarding compliance with the procedures. Administrative Officers are responsible for informing their employees that there is a process in place to monitor employee use of information resources when there is a reasonable basis to believe there has been a policy violation.

Administrative Officers are responsible for security of Information Resources within their department and are responsible for providing the controls necessary to protect the integrity and confidentiality of the Information Resources.

Administrative Officers, or their designee, are responsible for (1) assessing and classifying information within the department that meets the following criteria and (2)

ensuring that special protective procedures are established as determined by agency standards and risk management decisions:

- **Confidential Information:** Information exempt from disclosure under provisions of the Texas Public Information Act or other applicable state or federal laws, regulations, or court orders.
- **Sensitive Information:** Information requiring special precautions to assure accuracy and integrity and protection from unauthorized modification or deletion. Information may be either public or confidential. Sensitive information requires a higher than normal assurance of accuracy and completeness.
- **Vital Information:** Unique and irreplaceable information required to operate the agency. Vital information is critical in continuing business during a disaster or in reestablishing operations immediately thereafter.

Texas Administrative Code, Rule 202.77 requires that all personnel of UT Permian Basin provide written acknowledgment that they have received, read, and understand this Policy. Administrative Officers are responsible for ensuring that all department employees have a signed security acknowledgment on file.

The policy also requires that an ongoing security awareness program be provided to employees. The Information Resources Division is responsible for the delivery of the education and Administrative Officers are obligated to see that employees fulfill the training commitment.

Texas Public Information Act (Formerly Open Records Act)

UT System Policy UTS139

House Bill 1718, 74th Legislature, changed the Texas Open Records Act to the Texas Public Information Act and made significant changes in the law. The change from “Open” to “Public” essentially changed the intent of the law from tangible records to records in any medium and specifically addresses electronic information. The definition of public information and right of access is also expanded.

Pursuant to the Act’s designation of the chief administrative officer as the officer for public information, the Chancellor delegates authority in the manner outlined in UTS139. The Act names each Administrative Officer as an agent of the Chancellor for purposes of compliance.

Exceptions to this Act exempt a number of categories of information from required disclosure. Exceptions are listed in Subchapter C of the Act and should be classified as confidential information when reviewing and classifying department information during the risk analysis process required in UTS139.

Questions about compliance with this Act should be directed to the Office of the Vice President for Business Affairs.

UT System Ethics Policy

Topics related to Information Resources include statements on appropriate use of licensed software (only properly licensed software may be loaded on UT Permian Basin computers), the internet, telephones and electronic mail.

UT System Administration Internet Policy.

All UT Permian Basin employees have access to the World Wide Web and internet e-mail capability. Administrative Officers are responsible for information published by departmental employees on UT System World Wide Web servers and for establishing departmental procedures for approval and maintenance.

Quick Guide to Resource Departments & Personnel

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

General Academic Information – Offices & Contact Personnel

(Note: all phone numbers have a 552- prefix if calling from outside the university)

President's Office

President of the University of Texas of the Permian Basin, MB 4218, x2100,

Academic Affairs

Provost and Vice President for Academic, MB 4218, x2110,

College of Arts and Sciences

Dean, MB 3212, x2334

Department of Biology, MB 3136, x2271,

Department of History, MB 4108, x2318,

Department of Kinesiology, MB 3144, x2331,

Department of Literature and Languages, MB 4116, x 2293,

Department of Mathematical and Computing Sciences, MB 3239F, x2254,

Department of Physical Sciences, MB 4100, x2243,

Department of Psychology, MB 3108, x2350

Department of Social Sciences, MB 3232, x 2344,

Department of Visual and Performing Arts, MB 4156, x2295,

School of Business

Dean., MB 2202, x2170,

Graduate Business Studies, MB 2214, x2138,

Undergraduate Business Studies, MB 2252, x2198,

Engineering and Technology, IT 096, x2215,

School of Education

Dean, MB 3214, x2120,

Department of Curriculum and Instruction, MB 3100, x2132

Department of Educational Leadership and Counseling, MB 3114, x2128,

University Services & Support Information – Offices

Accounting (MB 1220), Director of Accounting, x2718

Services available include:

- Distribution of Payroll Checks [Note, Payroll Direct Deposit is arranged by Human Resources.]
- Travel Reimbursements
- Non-payroll Reimbursement Direct Deposit is arranged by Accounting
- Pay for everything here, such as parking permits

Admissions (MB 1221), Director, x2608

Services available include:

- Official evaluation of academic transcripts (for undergraduate transfer students)
- Advisement of international students
- Maintenance of official student records until student enrolls — records then forwarded to Registrar's or Graduate Office.

Advising (Academic Advising):

Services available include:

- Academic advisor assignment
- Initial advising for entering students
- Teacher certification information

Arts & Sciences Advising, (MB 1150), in the Courtyard), Coordinator x2663

Business Advising, (MB 2212), Coordinator of Advising for Undergraduate Business, Engineering and Industrial Technology – x2173

Education Advising, (MB 3125), Certification, x2120

Athletics (GYM 201), Director, x2675

Services available include:

- Sports calendar information
- Tickets to sporting events
- Report difficulty with any student athletes
- Report violations of NCAA rules

Audit and Compliance (MB4220), Director, x2697

Services available include:

- Audits of departments, operations and requirements
- Compliance reviews
- Accept confidential compliance contacts at x2940
- Accept confidential reporting of ethics issues at 1-888-228-7725
- Consulting services
- Risk assessment

Bookstore (MB 1140, in the Courtyard), Bookstore Manager, 552-0220 x11

(The Bookstore is privately operated and so you must dial the 552- prefix, even from campus)

Services available include:

- Textbook Orders
- Forms sometimes required for obtaining complimentary copies of textbooks

Business Affairs, Vice President for Business Affairs/Compliance Officer; MB 4220A, x2700

Services available include:

- General Budget Information and Assistance
- Ensure compliance with local, state, UT System, and federal regulations
- Compliance/Ethics Hotline, 1-888-228-7725
- Travel Arrangements, Centralized for all University Travel through Business Affairs

Career Center (MB 1160, in the PASS Office in the courtyard), Director, x2633

Services available include:

- Job placement
- Career counseling
- Career Fair
- Job Fair

Central Stores (MB 1138), Supervisor, x2732

Services available include:

- Office Supplies (list of stocked items on Central Stores web page)
- Central Receiving for large packages or special deliveries (ex. UPS and Fedex)
- Inventory Control
- Overnight shipping pick up from Central Stores

Compliance (see Audit and Compliance above)

Continuing Education/Outreach (MB 4218), Director of Continuing Education, x2556

Services available include:

- Summer Programs
- TexPrep
- SAT preparation
- Spanish Language Fair
- Liaison to regional business organizations

Counseling Center (FB 040, Founder's Building, south campus), Director; x2365

Services available include:

- Various counseling and psychological services are free to faculty and staff
- Employee assistance programs

Early Alert System (MB 4274), Vice President for Student Services, x2600

Services available include:

Faculty notifies Early Alert of student absences or poor performance. A member of the Early Alert Team contacts student. Early Alert may be input into the system through the following web page: <https://eas.utpb.edu/> By submitting an alert electronically, a faculty member can also see actions taken as a result of the alert. Log in name and password are the same as those used for University e-mail.

Financial Aid (MB 1125), Director, x2620

Services available include:

- Student financial aid information

Graduate Studies and Research (MB 1208), Vice President for Graduate Studies and Research), x2533;

Services available include:

- Publication of the Graduate Catalog
- Graduate student records
- Information on graduate programs at the University
- Graduate Catalog
- Grants direction and submissions
- Patent direction
- Assistance in grants and sponsored projects

Gymnasium Complex, Director; GYM 102, x2335

Services available include:

- Gym lockers
- Faculty/staff access to facilities
- Weight room
- Swimming

Human Resources (MB 4224), Director, x2750,

Services available include:

- Employee Relations
- Faculty/Staff Recruitment and Hiring
- Retirement Programs
- Credit Union Information
- UTPB Holidays
- Employee Group Insurance
- Vacation/Sick Leave
- Premium Sharing
- Payroll
- Direct Deposit
- Employee Training

Information Resources Division (IRD, MB 2276), Assistant Vice President for Information Resources, x2415

Services available include:

- Email
- Access to *Barrel* student information system, *Faculty Portal*, and *PaperVision*
- Telephones
- Computer hardware and software support
- Internet support

All requests for services are handled electronically via UPTB's website. From the UTPB home page select "Faculty and Staff" and then select "Faculty Portal". There you will find links to a number of services available to faculty, including the on-line service request system. For additional assistance, call the IRD help desk at x2415.

Institutional Advancement & Public Information (MB 4230), Director; MB 4230, x2802

Services available include:

- Fund Raising Efforts
- Governmental Relations
- Alumni Relations

Public Information Officer, x2806

Services available include:

- News Releases and Publicity
- Assistance in Publicizing University Special Events

Institutional Research, Planning, and Effectiveness (MB 4202), Director, x2118

Services available include:

- Enrollment and Other University Data Reports
- Federal, State, or Internal Reports and Surveys
- Strategic Plan

- Campus Facilities and Master Planning

Intensive English (MB 4109), Director, x2124

Services available include:

Year-round Intensive English Program is provided at a variety of levels to help students gain basic, intermediate and mastery skill of English in listening, speaking, reading, grammar & writing.

Laboratory Division (MB 3180), Director, x2278

Services available include:

- Lab class preparation
- Maintain chemical inventory and control
- Purchase equipment and supplies
- Equipment inventory
- Provide support for faculty research
- Ensure compliance with local, state, UT System & federal regulations pertaining to labs
- Student assistant support for the preparation of lab materials

Library (The J. Conrad Dunagan Library), Director; x2370

Services available include:

- Online public access catalogue
- Current periodicals and professional journals
- Microform and microfiche
- Interlibrary loan service
- Archives-special collections section

Literacy Center (MB 4180), Reading Specialist x2154

Services available include:

- Content area reading/vocabulary courses
- Intervention services
- Diagnostic services
- Reading and study strategies handouts
- Reading and study strategies websites

Mail Services (MB 1100, near the elevators), Mail Clerk, x2745

Services available include:

- United States Mail Pickup Monday - Friday
- Certified mail assistance
- Express mail service
- Assistance in weighing packages

Math and Science Center (MB 4180), Director, x3350

Services available include:

- Tutoring

- Flexible support
- Group and individualized instructional services
- Materials to enhance students' knowledge and skills, and test performance

Mentoring Program (MB 4109), Coordinator, x2155

Services available include:

- Mentoring program for students who may be at-risk or who choose to have a mentor
- Tutoring

PASS Office (Programs Assisting Student Study, MB 1160, in the Courtyard),

Director, x2630

Services available include:

- Tutor Referral Services
- GRE/GMAT/LSAT Study Guides & Tutorials
- Testing Room/proctoring services
- Personal Computers, Study Guides & Books
- Seminars
- Disabled student services

Physical Plant (FB 048, Founder's Building, south campus, Director, x2760

Services available include:

- State Vehicle Reservation (vans, etc.)
- Keys
- Building/Office Maintenance and Repair

Police Dispatch Office (First floor lobby, MB 1200), Police Chief; MB 1103, x2780

There are University Police Department officers on duty twenty-four hours a day, seven days a week (including holidays). The on duty officer may be reached by calling x2786. Dial 2911 for emergencies.

This is where you will eventually obtain your university ID card and parking permit. First, you must go to Human Resources (MB 4224). You will obtain from Human Resources a filled-out and signed orange half-page form titled, "UTPB Employee ID Authorization". Bring this orange form to the Police Dispatch Office. They will then take your photo and make your laminated university ID card. There you can fill out the parking permit form as well. Parking permits are mandatory for employees.

Services available include:

- Entry assists
- Vehicle Assists
- Lost and Found
- Parking permits
- ID cards

Publications and Special Projects (MB 3178), Director, x2547

Services available include:

- Layout and Design of Displays and Publications (including posters, brochures, reports, ads, flyers)
- Layout and Design of Instructional Materials (as required by faculty and staff)
- Photographic Responsibilities

Purchasing (MB 4270), Director, x2790

Services available include:

- Catalogs of merchandise, business equipment, etc.
- Contract Books
- Bid Processing and award
- Purchase Order issuance
- HUB vendor assistance and tracking
- Contract management

Reach Program Center (MB 3239), Director, x2870

Services available include:

- Distance education through interactive video
- Support to faculty who develop courses for the Web
- Web support for the University
- Web support for faculty

Webmaster, x2880

Services available include:

- Create and maintain UTPB's website
- Provide training to assist faculty and campus organizations
- Assist in online surveys using *SurveyMonkey*
- Electronic Information Resources (EIR) Accessibility Coordinator

Registrar (MB 1231), Registrar, x2640

Services available include:

- Publication of the Undergraduate Catalog
- Undergraduate Student Records
- Graduation Assistance
- Registration Information
- Class Scheduling
- Grades
- Student Name/Address Change for student records (employment records are changed in the Human Resources Department)
- Transcript Issuance
- Veterans' Representative
- Classroom Assignments
- Residency Records
- Add/Drop and Withdrawals
- Grade Changes

- Contract Study/Incompletes

Reprographics (MB 1106), Equipment Operator, x2835

Services available include:

- Printing of any item which requires fifteen copies or more
- Brochures
- Machine Drill and Staple Machine
- Binding Service

Student Life (MB 2120), Director, x2650

Services available include:

- Student Union
- Student Organizations
- Student Senate
- Student Program Board
- Falcon Planner
- Volunteer Center

Student Services (MB 4274), Vice President for Student Services, x2600

Services available include:

- This office manages most of the non-academic services provided to students
- Student Concerns
- Student Grievances/Appeals
- Student Discipline, including scholastic dishonesty and classroom behavior problems

Switchboard (First floor lobby, MB 1200)

The switchboard is located in the Police Department's Communication Center in the first floor lobby (MB 1200) and is staffed 24 hrs. Office personnel are there during normal University hours and police will respond 24 hrs every day. For NON-emergency services dial 2786. For EMERGENCY service dial 2911. You may also dial "0" during the above stated hours for assistance. From an outside line, the automated, and voice activated, switchboard may be reached by calling 552-2020.

Tutoring:

Please refer to the separate centers below, each provides tutoring services:

- Literacy Center
- Math and Science Center
- Mentoring Center
- PASS Office
- Writing Center

Writing Center (MB 2100), Director, x2302

Services available include:

- Face-to-face writing tutorials for all students
- On-line writing assistance for distance learners and others who cannot come to the Center in person
- Assistance with research papers, resumes, letters of application
- Workshops and class presentations customized to instructor need

What do you need? How to Get It:

Business Cards	<p>Publications & Special Projects. (x2540) Log onto the UTPB website: (1) click “Administration” on the left-hand menu; (2) click on “President’s Office” on the drop-down menu; (3) then “Publications and Special Projects”; and (4) then click “Business Cards” in the gray box, and fill out the information.</p>
Campus Activities	<p>Student Life Office (x2650) or Athletics (x2675). Also, go to the UTPB website: (1) click “Calendar” on the left-hand menu; (2) then click on “Main Calendar”.</p>
Computer Help; Media/Technical Assistance	<p>All requests for services are handled electronically via UPTB’s website: (1) go to “Administration” on the left-hand menu; (2) a drop-down menu will display “Information Services”, click on this; (3) click on “CLICK HERE TO SUBMIT A SERVICE REQUEST”; (4) you now have four options. These four options are: (1) <u>Submit Computer Technology Service Request</u>; (2) <u>Request Telephone/Voice Mail Service</u>; (3) <u>Request an IP Address for University Owned Equipment</u>; and (4) <u>View a short presentation on how to submit a service request</u>. If you’ve never made a service request of IRD, click on the fourth option and work from there. Trouble? Call the IRD Help Desk at x2415.</p>
Copying	<p>See your Administrative Assistant. If it’s a lot of copying or special binding, you may be sent to Reprographics (MB1106). Be sure you go to Reprographics with a department account number to be charged for the service.</p> <p>Please specify when you’ll need the copies and allow adequate time for processing.</p>
<u>All employees, part-time and full-time, should obtain a UTPB</u>	

<p>Email</p>	<p><u>email address. If you do not have a university email address, please see your Administrative Assistant. Email set-up requires you to fill out a form, a copy of which is available in Section E.4 of the Faculty Guide. The form is titled, THE UNIVERSITY OF TEXAS OF THE PERMIAN BASIN INFORMATION RESOURCES DIVISION, USER ACCOUNT REGISTRATION.</u></p> <p>Your Administrative assistant should have forms as well. Check the box, “E Mail” on the right column under “Other”. You’re going to need your supervisor’s approval, so start with your Administrative Assistant to initiate this process.</p> <p>When off-campus, you may access your email account by going to UTPB’s home page and clicking “WebMail” at the top.</p>
<p>FAX</p>	<p>FAX machines are generally in the department offices. See your Administrative Assistant.</p>
<p>Forms, Forms, Forms</p>	<p>Go to the UTPB Home Page—click “Faculty and Staff” and then click on “University Forms”. There you will find links to a number of forms available to faculty and staff. For additional assistance, contact your Administrative Assistant.</p>
<p><i>Handbook of Operating Procedures (HOP)</i></p>	<p>A copy can be found on-line on the UTPB Home Page—click “Administration” on the left menu; you’ll see it on the drop-down menu on the left. It simply says, “Operating Procedures”. Or, click “Faculty and Staff” on the left menu, then click “Rules, Policies and Procedures”, then click “UTPB Handbook of Operating Procedures”</p>
<p>ID Card</p>	<p>Your university ID card will identify you as a UTPB employee and will enable you to check out items from the library. To obtain your university ID card you must first go to Human Resources (MB 4224). You need to leave Human Resources with a filled-out and signed orange half-page form titled, “UTPB Employee ID Authorization”. Bring this orange form and submit it to the Police Dispatch Office in the first floor lobby of the Mesa Building. They will then take your photo and make your laminated university ID card.</p>
<p>Insurance, Retirement, & Benefits</p>	<p>Human Resources. (MB 4224, x2751)</p>

<p>Keys</p>	<p>Key request forms are available from your Administrative Assistant. They're also available at UTPB's website: (1) click "Faculty and Staff" on the left-hand menu; (2) click "University Forms"; (3) then find "Physical Plant" and below it click on "Key Request Form". Fill out the form and get your Dean's approval. You may FAX this form to Physical Plant at x2770 or drop it off at the Physical Plant offices on South Campus in the Founder's Building, FB 048. The key should be available to pick up at Physical Plant within 48 business hours.</p>
<p>Office Furniture</p>	<p>See your supervisor and eventually your Administrative Assistant.</p>
<p>Office Heating and Cooling</p>	<p>Call Physical Plant, x2760</p>
<p>Office Repair & Cleaning</p>	<p>Make requests for repairs through your Administrative Assistant, who will then contact Physical Plant. For cleaning/janitorial concerns, contact x2760 at Physical Plant.</p>
<p>Office Supplies</p>	<p>Make requests for supplies through your Administrative Assistant</p>
<p>Parking Permit</p>	<p>Your UT EID or university ID card will enable you to obtain a parking permit. Parking permit forms are in the Police Dispatch Office in the first floor lobby of the Mesa Building. You'll be asked to fill out a form and then pay for it at the Accounting Office (MB 1220). You'll be sent back to the Police Dispatch Office to finally pick up your actual window permit tag.</p>
<p>Paycheck & Direct Deposit</p>	<p>You may pick up your paycheck in the Accounting Office (1st floor, MB 1220) on the first working day of the month. Direct deposit is available through Human Resources (MB 4224) and is strongly encouraged.</p>
<p>Phone Messages</p>	<p>To check for phone messages, dial x2900 (or call 552-2900 from off campus). You'll then be asked for your extension and a password. Then it will play any phone numbers and voice messages that were left for you.</p>

<p>Reserve a 4th Floor Conference Room for Meetings</p>	<p>Contact the President’s office, MB 4218, x2100. Most of the personnel there can assist.</p>
<p>Reserve a Classroom, Library Lecture room, the Mac Boring Room, or Gym for Special Events, Guest Speakers, and so forth</p>	<p>Make requests through your Administrative Assistant who will then go through SchoolDude for approval. For assistance, contact the Registrar’s office (MB 1231, x2635), or Physical Plant (FB 048, x2760)</p>
<p><i>Rules and Regulations of the Board of Regents of The University of Texas System</i></p>	<p>A copy can be found on-line on the UTPB Home Page—click “Faculty and Staff” on the left menu, then click “Rules, Policies and Procedures”, then click “Regents’ Rules and Regulations”</p>
<p>Travel Information</p>	<p>See the Administrative Assistant in the Vice President for Business Affairs Office. Review travel policy at http://ba.utpb.edu/media/files/travel_policy.pdf.</p>
<p>TV Monitor and VCR (portable units)</p>	<p>See your Administrative Assistant.</p>
<p>University Vehicles</p>	<p>See your supervisor. Physical Plant will provide a form to be completed (x2760). Drivers must be full-time or part-time employees of the university. Drivers must complete special alert driving instruction prior to checking out any vehicle, also available via Physical plant.</p>
<p>UT EID</p>	<p>UTPB uses a unique identifier for each employee. This unique identifier is assigned by the University of Texas at Austin and is called the UT EID. The UT EID is an electronic identifier that helps prospective and current employees stay connected to their university information. With your UT EID and password, you can access secure information and complete secure tasks online. It is mandatory that all faculty, part-time and full-time, have a UT EID.</p> <p>UT EIDs come in two flavors; normal and high assurance. When you initially claim your UT EID it will be a normal UT EID. To do things like claim your W2 online you will need to upgrade your UT EID to high assurance. To upgrade your UT EID from normal to high assurance you must appear in person at the Human Resources office (MB 4224).</p>

	<p>You can and should obtain your normal UT EID by going online to https://idmanager.its.utexas.edu/eid_self_help/?id=5 and follow the instructions. The process consists of answering a series of questions and providing some basic information. Remembering your UT EID will facilitate a number of setup activities such as e-mail, course management and state reporting.</p> <p>Things To Remember:</p> <ul style="list-style-type: none"> • Remember your UT EID and password and keep them secure. Do not share your password with others. • Don't try to sign up for a UT EID if you think you already have one. Doing so will only complicate things by creating two records for your information. • Use the self help tools at https://idmanager.its.utexas.edu/eid_self_help/ to manage your UT EID information. <p>If you have trouble getting your UT EID online, or simply want personal contact, you may obtain your UT EID from Human Resources (MB 4224). You may contact either Carrie Vasquez (x2751) or Audra Tijerina (x2752) in Human Resources for assistance.</p>
<p>Visual Aids</p>	<p>Publications & Special Projects. (x2540)</p>