

Management Responsibilities Handbook

DRAFT



The University of Texas at Dallas

Revised August 2008

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A Statement from the President

The administration and management of The University of Texas at Dallas has grown increasingly complex in the last decade, in great part due to external forces such as the expansion of regulatory requirements in a climate of decreasing resources. As a result, the effective operation of academic and administrative units, which is essential to the University's missions of education, research, and public service, has become a significantly greater challenge.

This handbook was developed to assist administrators, who are responsible for management of campus units, in understanding their roles and responsibilities in campus administration. It defines and clarifies areas of accountability and provides a guide to the expertise and assistance available from various administrative support departments.

Although the handbook is not all-inclusive, it does offer an overview of major responsibilities in the areas of academic affairs; finance; environmental health and safety; human resources; information resources and security; property administration; records retention; and unit administration.

This is an important reference manual, which I believe will be useful to academic and administrative heads of all units. It complements the Administrative Policies and Procedures Manual which contains University policies essential to the management of the campus.

Your feedback for future editions of this volume should be addressed to the Director of Audit and Compliance.

A handwritten signature in black ink, appearing to read "David E. Daniel". The signature is fluid and cursive, with the first name "David" being the most prominent.

David E. Daniel

October 2007

Mission Statement

The University of Texas at Dallas serves the Metroplex and the State of Texas as a global leader in innovative, high quality science, engineering, and business education and research.

The University is committed to (1) producing engaged graduates, prepared for life, work, and leadership in a constantly changing world, (2) advancing excellent educational and research programs in the natural and social sciences, engineering and technology, management, and the liberal, creative, and practical arts, and (3) transforming ideas into actions that directly benefit the personal, economic, social, and cultural lives of the citizens of Texas.

Goals

The University of Texas at Dallas aspires to be:

- A first-rank public research university with focused centers of excellence, prepared to meet the challenges of a rapidly changing, technology-driven global society
- A global force in innovative, transdisciplinary research and education in emerging areas of technology, science, and learning
- A ground-breaking leader in both framing and answering the questions faced by business, policy makers, healthcare, and the public
- A synergistic partner with local industry, government, and cultural organizations as well as local K-12 schools, community colleges, and universities
- One of the most creative, innovative universities in the nation and world.

Meeting these goals will require that all stakeholders—faculty, staff, students, business leaders, philanthropists, teachers, civic leaders—unite and work to help UTD establish world-rank stature in already established areas of excellence and in new areas that will be crucial in the different world that will define tomorrow. Without internal synergy and active external collaborations, without diversity of opinion, without dedication to transcending traditional boundaries, UTD will not be able to fulfill its promise or meet the expressed aim of its founders—to become “a great university.”

Strategic Initiatives

UTD will invest in 6 strategic initiatives for success:

1. Discovering Tomorrow's Inventions Today
2. Preparing Students for Tomorrow's Challenges
3. Managing Change in a Constantly Changing Society
4. Securing the Safety of the Future
5. Improving the Health and Quality of Life of Individuals and Society
6. Making a Great City Even Greater

More information on UTD's Strategic Plan can be obtained at the following website:

<http://www.utdallas.edu/president/plan/>.

Statement of Philosophy

Employees of The University of Texas at Dallas (UTD) have a responsibility to the people of Texas in the performance of their duties. High personal and professional standards are critical in fulfilling this responsibility. Employees will be held accountable for their actions (or failure to act) and such accountability cannot be delegated to others. All employees of UTD agree to abide by a Code of Ethics which provides reasonable assurance that the employee will not personally benefit or accept or give favors as a result of his/her position as an employee at UTD. The current version of the Code of Ethics can be obtained at http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/d111100.pdf.

The UTD Code of Ethics Policy states:

- Each employee of UTD should maintain a standard of conduct befitting his/her position as a member of UTD and the U. T. System.
- No employee will accept any gift, favor, or service that might influence the discharge of his/her duties. Refer to the UTD Business Gifts policy at http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/d111300.pdf.
- If an employee owns a controlling interest in a corporation, firm, partnership, or other business entity which is under the jurisdiction of any state regulatory agency, he/she must file a sworn statement with the Secretary of State disclosing such interest.
- An employee may not use his/her official University position to gain special privileges or exemptions personally, or for others, except as provided by law.
- No employee may accept employment or engage in any business or professional activity that he/she would reasonably expect might require or induce the disclosure of confidential information relating to his/her official position.
- An employee may not disclose confidential information gained through any appointed position, and such information will not be used for personal gain or benefit.
- No employee may transact business in his/her official capacity with any business entity of which he/she is an officer, agent, member, or in which he/she owns a controlling interest.
- No employee may invest in an enterprise or venture that would create a substantial conflict between this investment and the public interest.
- An employee may not accept other employment which might impair his/her judgment in the performance of public duties.
- No employee may receive any compensation or services rendered from any source other than the State of Texas, except as provided by law. Refer to the UTD Outside Employment policy at http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/d112500.pdf.

UT System Code of Ethics for Financial Officers and Employees

All UTD Financial Officers and Employees must comply with *UT System Policy 134 – Code of Ethics for Financial Officers and Employees*. Refer to <http://www.utsystem.edu/policy/policies/uts134.html>.

Per UTS134, Financial officers and employees of the UT System or its institutions shall:

- Act with honesty and integrity, including handling actual or apparent conflicts of interest between personal and professional relationships in an ethical manner;
- File complete, accurate, timely, and understandable disclosure statements as required by applicable laws, rules, or policies;
- Comply with applicable federal or state laws and local ordinances, and with applicable rules and policies of the UT System or its institutions;
- Act in good faith, responsibly, and with due care, competence and diligence, without misrepresenting material facts or allowing one's independence of judgment to be subordinated;
- Share knowledge and maintain skills important and relevant to job requirements;
- Respect the confidentiality of information acquired in the course of work and made confidential by law; and
- Proactively promote ethical behavior in the work environment.

UTD Standards of Conduct Guide

All UTD employees should be aware of the UTD Standards of Conduct Guide. The purpose of the Guide is to emphasize the necessity for and the responsibility of all employees at UTD to become aware of how to perform their duties and responsibilities in compliance with applicable provisions of federal and state laws, and UT System Board of Regents and UTD Policies. The Guide is not intended to be a comprehensive list of legal and ethical standards, rather it provides employees of UTD with information about and references for the laws, policies, rules and regulations that have a direct effect on the University and its operations. Managers are responsible for ensuring their staff members are aware of the topics outlined in the Guide and be available as a resource in case questions or concerns arise from staff members. Both the Standards of Conduct Guide and Management Responsibilities Handbook provide information on resource and support departments on campus that can assist when employees and/or managers have further questions which are not addressed in either guide.

Refer to http://www.utdallas.edu/audit-compliance/compliance_conductguide.htm.

Problem Resolution Process

The University of Texas at Dallas (UTD) officers and managers must be responsive to complaints and to resolve problems at the lowest possible level. If ethical problems or conflicts arise that cannot be resolved between the employee and the immediate supervisor, it is expected that the appropriate manager will fulfill his or her administrative responsibility to make a good faith effort to resolve the problems.

If this recourse fails, a staff member may use the formal grievance procedure:

http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/d81400.pdf.

Faculty members may use the faculty grievance procedure:

<http://www.utdallas.edu/provost/docs/PM-54.pdf>.

It is imperative that management be responsive to early warnings of alleged ethical or legal improprieties.

For More Information

Contact the **Office of Audit and Compliance** for internal reviews and advisory functions:

Toni Messer, Director of Audit and Compliance

972-883-2693

tmesser@utdallas.edu

Contact a **Compliance Officer** for questions regarding compliance or legal issues:

Toni Messer, Director of Audit and Compliance

972-883-2693

tmesser@utdallas.edu

Meeoak Cho, Compliance Manager

972-883-2240

meeoakc@utdallas.edu

Contact the **Ethics Officer** for questions regarding ethical or legal issues:

Dr. Calvin Jamison, Vice President for Business Affairs
972-883-2213
cjamison@utdallas.edu

Contact **Human Resources Management** regarding employee-related issues:

Larry Wilson, Assistant VP for Business Affairs, Human Resources Management
972-883-2221
lwilson@utdallas.edu

To confidentially obtain information about compliance issues and report instances of suspected non-compliance outside the normal chain of command:

UTD Compliance Hotline
Call 1-888-228-7707
or
<http://www.tnwinc.com/webreport>

Additional information on the UTD Compliance Hotline is available
at http://www.utdallas.edu/audit-compliance/hotline_about.htm.

Delegation of Responsibilities

The president has delegated, through the executive vice president and provost, to the dean of each school, administrative and financial responsibility for the operation of the academic units of the university. The president has also delegated, through the provost, vice presidents, executive directors, department heads, and directors the administrative and financial responsibility for administrative departments providing support and services to the research, teaching and service missions of the university.

Deans, department heads, and directors (managers) may delegate some responsibilities, but cannot delegate **accountability**. Managers are accountable for the following departmental/unit activities:

1. **Goals:** Establishment of department/unit goals and objectives that are congruent with UTD's mission and strategic goals; communication of these goals and objectives to staff/faculty.
2. **Processes:** Development and implementation of the specific processes used by the department/unit in achieving goals and objectives.
3. **Resources:** Identification and provision of resources (human, physical and information) that are critical to the effective operation of each process.
4. **Risks and Obstacles:** Identification and assessment of risks or obstacles that could negatively impact:
 - effective and efficient achievement of desired outcomes
 - sound financial condition
 - staff recruitment, retention and development
 - environmental health and safety
 - compliance and ethical conduct
5. **Mitigation of Risk:** Establishment of a system of operating procedures that will adequately mitigate unacceptable risk at the least possible cost.
6. **Risk Control:** Monitoring of operations to make certain that risks are controlled as desired and that the achievement of goals and objectives is maximized.

Managers may assign duties to other departmental employees to assist in carrying out these administrative and financial responsibilities.

It is a fundamental policy that no manager shall ask or expect an employee to do anything that is in conflict with the law or policies of UTD or the U. T. System.

The employee should be provided with written goals and objectives which define accountability and responsibility so that the manager's expectations are clear to the employee.

The employee's performance should be evaluated against the goals and objectives that are communicated to the employee.

Managers are responsible for providing timely and objective feedback to employees regarding their performance.

Please Note: *The responsibilities listed for the managers throughout this handbook are not all-inclusive, nor do they supplant the formal job descriptions.*

Manager's Key Result Areas

There are eight key result areas for officers and managers of The University of Texas at Dallas:

1. Sound, financial, business, and ethical business practices.
2. Management of resources to achieve UTD's mission and goals.
3. Non-discriminatory and equal opportunity work environment.
4. Employee recruitment, development and retention.
5. Appropriate use of information resources.
6. Management of confidential information.
7. Promotion of healthy and safe work environment.
8. Active participation in UTD's Assessment Initiatives.

Legal and Ethical Conduct

Managers are responsible for ensuring that faculty and staff members are aware of both The University of Texas at Dallas (UTD) and U.T. System's Code of Ethics and that managers, faculty and staff conduct themselves in an ethical manner. Ethical conduct requires knowledge about applicable laws, rules and regulations and policies related to an employee's area of responsibility. Managers may delegate the responsibilities for acquainting employees with ethics policies and for monitoring ethical behavior but remain accountable for the ethical conduct of staff and faculty in their department/units.

The current version of the UTD Code of Ethics can be obtained at http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/d111100.pdf.

The current version of the UT System Policy 134 – Code of Ethics for Financial Officers and Employees can be obtained at <http://www.utsystem.edu/policy/policies/uts134.html>.

Managers need to be especially aware of the following areas:

- **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.
- **Confidentiality of Information** – No employee shall disclose confidential information or use such information for his or her personal benefit.
- **Conflicts of Interest** – Officers, faculty, and employees (collectively “employees”) of UTD 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.
- **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. Refer to http://www.utdallas.edu/business/admin_manual/pdf/d111300.pdf for the official UTD policy on gifts.

Employees who work in Financial Aid or who work with student loan lenders have more restrictive rules regarding gifts. If you are a supervisor or manager in this area, please be aware that you are responsible for ensuring that these employees receive special training annually regarding the Texas Higher Education Fair Lending Practices Agreement. Please consult with your immediate supervisor or the Director of Financial Aid for additional information.

- **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.

- **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.
- **Personal Use of State Resources** – The personal use of state resources should be avoided. This includes, but is not limited to, equipment, supplies, vehicles, employee time, software and the Internet. State law provides that public employees commit a crime if, with intent to obtain a benefit or harm another, an employee misapplies anything of value belonging to the government that has come into the custody or possession of the employee by virtue of his or her employment. State law also requires that public employees not exercise their authority in any way, except as permitted by law, which could benefit them significantly in a private financial manner.
- **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.
- **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 Assistant Vice President for Human Resources Management immediately.

For More Information

UTD Standards of Conduct Guide

http://www.utdallas.edu/audit-compliance/compliance_conductguide.htm

Ethics Guide published by the University of Texas System Office of General Council

<http://www.utsystem.edu/ogc/ethics/guide.htm>

UTD Compliance Hotline

1-888-228-7707 or <http://www.tnwinc.com/webreport>

Contact the UTD Ethics Officer

Dr. Calvin Jamison, Vice President for Business Affairs

972-883-2213

FERPA Regulations

The Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, sets forth requirements regarding the privacy of students' educational records. FERPA governs the release of education records maintained by the university and access to these records.

The student's university record is established and maintained to provide both the student and university with information regarding the student's progress while enrolled at the university. Any student enrolled in the university has access to and may inspect those records relating to his or her academic progress, to the extent allowed by FERPA and the Texas Public Informational Act. The record is considered to be confidential and may be released only within the limitations clearly defined by university regulations and state and federal statutes or with the student's written permission.

Generally, schools must have written permission from the eligible student to release any information from a student's educational records. However, FERPA allows schools to disclose those records, without consent, to the following parties or under the following conditions (34 CFR § 99.31):

- School officials with legitimate educational interest;
- Other schools to which a student is transferring;
- Specified officials for audit or evaluation purposes;
- Appropriate parties in connection with financial aid to a student;
- Organizations conducting certain studies for or on behalf of the school;
- Accrediting agencies;
- To comply with a judicial order or lawfully issued subpoena;
- Appropriate officials in cases of health and safety emergencies;
- State and local authorities, within a juvenile system, pursuant to specific State law.

The university may release directory information which is defined as public information and includes the following: student's name, local and permanent address, telephone number, e-mail address, date and place of birth, major field of study, participation in officially recognized activities and sports, weight and height of members of athletic teams, dates of attendance, degrees, awards and honors received, and the most recent educational agency or institution attended by the student. This information may be printed in various publications of the university such as the student directory, honors list, athletic programs, list of graduating students, or similar documents. Additionally, this information may be released upon request. A student may request the university not to release directory information by completing the confidentiality form available in the Registrar's Office (<https://www.utdallas.edu/student/registrar/forms/>).

Records which the university maintains include official university academic and personal records relating to scholastic, disciplinary and fiscal matters as well as records maintained by university agencies and agencies providing services sought voluntarily by students. Students may challenge the contents of educational records and request corrections to inaccurate or misleading information. Any request for

correction or explanation of record contents should be presented in writing to the person in charge of the office where the record is maintained.

It is the responsibility of everyone on campus to follow and monitor procedures and practices to ensure compliance with all FERPA regulations and to report potential and real violations to the UTD FERPA Compliance Officer by phone (972-883-2708), email (karenl@utdallas.edu), or through the electronic FERPA Violation Form (<https://www.utdallas.edu/legal/ferpa/>). In addition to not releasing student records to inappropriate parties and/or accessing student records to which you have no legitimate interest, responsibility includes not leaving student records (paper or electronic) in plain view of visitors or others who do not have a legitimate “need to know” or in unsecured locations during absences from the office. Responsibility also includes not sending personally identifiable information through email unless it is encrypted (including SSNs and UTD-IDs).

More detailed information on FERPA regulations can be found at www.ed.gov/policy/gen/guid/fpco/ferpa/index.html.

When in doubt, don’t give it out!

For More Information

FERPA regulation
www.ed.gov/policy/gen/guid/fpco/ferpa/index.html.

Contact the **FERPA Compliance Officer**

Karen Jarrell, University Registrar
karenl@utdallas.edu
972-883-2708

HIPAA Regulations

The Health Insurance Portability and Accountability Act (HIPAA) was enacted by Congress in August 1996. HIPAA requires health providers, insurers and others to use standard formats for health information. Having one format should save money, but it also means more chances that health care information might not be private.

To protect privacy of health care information, Congress included privacy rules in HIPAA. These rules apply to particular departments within UTD because:

- UTD staff provide treatment to patients at the Callier Center and Center for Brain Health, and
- Certain UTD staff use health information covered by HIPAA in their research.

Every UTD employee must follow UTD's rules about privacy and information security. Managers are responsible for evaluating if their respective departments handle information protected under the HIPAA regulation, establishing controls and procedures to protect the information, and educating employees regarding the appropriate procedures for handling the information.

If your department works with health information covered by HIPAA, you and your employees must learn and follow the specific HIPAA rules that apply.

All UTD employees are required to:

- Protect private information.
- Adjust computer screens so they can't be seen by others.
- Keep files and keys secure.
- Use secure recycling to discard private information.
- Never share passwords with anyone.
- Never release information to anyone without checking with a supervisor.

For More Information

Contact the **HIPAA Privacy Officer**

Larry Wilson, Assistant VP for Business Affairs, Human Resources Management
972-883-2221
lwilson@utdallas.edu

Contact the **HIPAA Security Officer**

Leah Teutsch, Chief Information Security Officer
972-883-6855
teutsch@utdallas.edu

Assessment and Accreditation

Managers have a responsibility for ensuring that their operational units support the University Strategic Plan, the Institutional Compact, and the accreditation requirements for the Southern Association of Colleges and Schools (SACS) and any other accrediting agencies relevant to your unit. Managers may assign responsibility for much of the related clerical work, but ultimately bear responsibility for both short- and long-term planning, oversight, and reporting of assessment activities.

Program Assessment is an ongoing process that requires the manager to focus on continuous improvement, the Strategic Plan, and the reporting of results as a part of personnel evaluation, budget development, and enterprise risk management and compliance.

A manager's primary responsibilities for assessment include:

- Identifying or refining a mission statement for the unit;
- Identifying measurable objectives that relate to the Strategic Plan or to the unit's mission statement or strategic plan;
- Identifying measurements that will help determine how well the unit is meeting the stated objectives;
- Routinely monitoring the operation's effectiveness through various measures and comparing those measures across time;
- Analyzing the results of those measurements to determine what future actions, if any, must occur to address the desired objectives more effectively;
- Analyzing the results to determine what, if any, changes in the objectives or mission should occur to improve operational effectiveness;
- Ensuring that all personnel are qualified to hold the position within the unit and that documentation of those qualifications are available for review by an accreditation team or task force;
- Using assessment results to identify the key elements of the operation to better prioritize the activities and needs of the unit;
- Submitting reports to supervisor(s) so results may be aggregated across operational lines to determine the overall effectiveness of a division or the university;
- Remaining familiar with the accreditation requirements of SACS and any other related accrediting agencies for the operational unit;
- Identifying the unit's needs to ensure accreditation, whether those needs are human resources, fiscal resources, physical resources, or other resources that can be identified in the budget development process.

Managers should recognize that assessment occurs on different levels within the university. Academic Programs or Degree Programs use one assessment model and include student learning outcomes as their objectives. For example, one objective might be “Students will be able to create an alternative software solution to address a prospective customer’s reporting needs.” The outcome should be operational and measurable. The objective should be stated in terms of student learning or what the student is expected to achieve, learn, or do. Administrative and other Support Programs use a slightly different approach in that the objectives are not as clearly related to student learning. Examples might include “Greet all visitors within ten seconds” or “Create new partnering opportunities with local businesses and organizations” or “Reduce error rates in account reconciliations by 15% over the next year.”

Staff credentials can prove an important part of a manager’s overall assessment program. While in-house reporting may not necessarily focus on every member of a unit’s staff, managers should be able to justify your reason for hiring each employee in their areas. Employees who are not clearly qualified on the basis of their education (the degree or certification, for example) must provide other documentation that will support your judgment that they are qualified to hold the job. A resume or curriculum vitae (CV) alone will not be sufficient. If a manager indicates, for example, that a budget analyst is qualified based on his/her five years’ experience as an accounting clerk at Company YZ, the manager should have documents showing that the person actually worked there and what the job duties were. A letter of recommendation from the initial hire would be useful, as would a copy of the employee’s evaluation while there. If the employee’s only experience is at UTD, you’ll need to find evidence that the person’s actual job duties have provided sufficient training or skills for the job.

Faculty credentials require considerably more evidence in that the transcript must show the course work and the degree’s award for the highest degree awarded. Even so, if the faculty member is teaching in another area, a lower transcript may be used in combination with the highest degree. For example, if the faculty member is a physicist with a PhD in physics but is teaching a mathematics class for physics students, a transcript showing the PhD would be used along with a transcript for any course work that would show 18 graduate hours in mathematics. Of course, the physics degree might also show 18 hours of graduate credit in mathematics.

For faculty members, management can also use research projects, articles and books published, and professional speaking engagements to show that the faculty member is considered an “expert” in the field. Management should have copies of the publications (or at the very least copies of library documentation showing the publication or distribution information.

For More Information

http://sacs.utdallas.edu/sacs_credentialing
http://sacs.utdallas.edu/sacs_assessment

Human Resources Management

Managers need to be especially aware of the following areas:

- Hiring Policies
- Termination of Employment Policies
- Payroll Practices
- Employee Discipline Policy
- Level of Position Classification System/Salary Ranges
- Dual Employment Policy
- Employee Transfer Policies
- Annual Performance Review Requirements
- Criminal Background Checks for Security Sensitive Positions

The manager may delegate specific duties related to personnel matters to appropriate departmental employees. When delegating responsibilities to other departmental employees, it is essential that each employee understand clearly his or her responsibilities as well as the laws, policies and guidelines governing the assignment. Personnel management responsibilities that may be delegated by the manager include, but are not limited to the following:

- Implementation of UTD's Equal Opportunity Policy, applicable non-discrimination and affirmative action policies.
- Assigning responsibilities to employees based on up-to-date individual job descriptions which are signed by the manager and classified by Human Resources Management. (When there are significant changes in job duties or level of responsibility, these changes should be forwarded to the Office of Human Resources for review.)
- Coordinating the resolution of personnel issues and potential problems within the department prior to making decisions, especially in the areas of equal employment opportunity and non-discrimination, hiring or promotion, discipline, classification and pay, employee rehabilitation and workers' compensation.
- Maintaining appropriate documentation to support and substantiate personnel actions taken in the department, particularly in the areas of applicant selection (and non-selection), performance evaluation, employee counseling and discipline, classification and pay, salary increases, job assignments and hours worked and paid.
- Making available current information and forms related to employee benefits.

Affirmative Action/Equal Opportunity

It is the goal of Human Resources Management to support the implementation of diversity at all levels of the campus community. Contact Human Resources Management for assistance with compliance monitoring and interpreting policy and legal requirements. Human Resources Management is a resource for the following activities:

- Consultation
- Research and application of laws, regulations, and policies
- Training and education
- Development of employment opportunities
- Promotion of affirmative action in business practices
- Participation in funding for affirmative action and diversity
- Resolution of complaints and case processing
- Collection and analysis of data
- Creating linkages between campus and community resources

Employment

The employment function of Human Resources Management is responsible for staff recruitment, applicant screening, and placement for staff employees, in compliance with University policies, and federal and state laws and regulation. This function also coordinates staff transfer, promotion, and preferential rehires.

Employee Financial Planning and Benefits

The employee benefits function of Human Resources Management is responsible for the administration of the University sponsored benefits programs available to faculty and staff. These benefits include the medical; dental; optical; disability and life insurance plans; the retirement and savings programs; and the tax advantage plans.

Staff Development and Training

Human Resources Management offers the following staff development and training services:

- Career counseling
- New employee orientation program
- Customized workshops
- Policy review seminars
- Consultation regarding specific departmental needs

Employee Assistance Program

The Employee Assistance Program (EAP) is a confidential assessment and referral service designed to assist faculty and staff employees whose personal problems may be adversely affecting their work performance. Consultation services are available through Human Resources Management to assist supervisors and managers in resolving staff conflicts and effectively approaching and referring an employee with personal problems.

Employee Relations

The Employee Relations function of Human Resources Management is the primary resource to administrative assistants and other unit personnel charged with the responsibility for the administration of personnel policies (for all employees not represented by union contracts). This function provides advice and counsel concerning policy interpretation and legal requirements, ongoing practices, appropriate application of policy and procedures, changes in policy and law and grievance and administrative appeals.

For More Information

Visit the **Human Resources Management** website

<http://www.utdallas.edu/hrm/>.

Financial Stewardship

Managers are responsible for operating their departments/units according to sound financial and business practices. Each manager is specifically responsible for:

- Establishing a financial plan based on departmental objectives and priorities
- Monitoring progress in achieving the financial plan
- Avoiding overspending of budgeted funds
- Establishing and maintaining a system of internal controls to assure that resources are properly used and safeguarded against waste, loss, and misuse. Internal controls include:
 - segregation of duties,
 - proper approvals for expenditures,
 - security of assets and records,
 - review and reconciliation of the statements of account.
- Identifying unauthorized transactions
- Providing immediate feedback to management if a loss of UTD assets or any significant irregularity has occurred.
- Establishing departmental policies and procedures to confirm that:
 - All costs charged to each fund specifically benefit the purpose for which the fund was established.
 - There is no improper shifting of restricted funds to other funds.
 - All costs are properly classified and attributed to the appropriate accounts.
 - All furniture, computers, and other equipment are tracked and periodically reconciled to inventory lists maintained by the Office of Property Administration.
 - Computer software is used in accordance with the UTD Information Resources Policies and Procedures Guidelines.

Managers may delegate financial duties to another employee in the department/unit, but cannot delegate ultimate responsibility or accountability for sound fiscal administration of that department/unit. The manager who delegates financial responsibilities to another employee should establish procedures to remain informed of the financial actions of the department/unit. The Office of VP for Business Affairs is a resource to the manager and departmental employees in establishing these procedures.

Managers need to be especially aware of the following problem areas:

- **Payroll Related Transactions** – Maintaining accurate vacation/sick leave records. Potential risks include not reporting or under-reporting actual vacation or sick leave time. Ensuring that payroll transactions are for authorized employees. If applicable, ensuring accurate and timely time and effort reporting for researchers.
- **Purchasing Card Transactions** – Purchasing cards could potentially be used to purchase items for personal benefit and not related to UTD business purposes.
- **Procurement of Goods and Services** – Ensuring that goods and services are procured for UTD business purposes. Making sure adequate segregation of duties exists throughout the procurement process.
- **Contracting for Goods and Services** – Compliance with UTD Contract policies and procedures. Ensuring accurate/fair contract terms. Avoiding actual or appearance of Conflicts of Interest. Monitoring of contract terms.
- **Travel Expenses** – Ensuring that travel expenditures are reasonable and are in compliance with UTD, UT System and State policies.
- **Deposits of Cash and Checks** – Ensuring proper checks and balances are in place to ensure that all cash and checks are deposited and posted to the appropriate accounts. Lack of proper controls in this area increases the risk that individuals will misappropriate financial assets (pocket UTD, State and/or Federal funds). Refer to BPM 26 and BPM 27 for additional information:
 - **BPM 26** – http://www.utdallas.edu/business/admin_manual/pdf/bpm26.pdf
 - **BPM 27** – http://www.utdallas.edu/business/admin_manual/pdf/bpm27.pdf
- **Monthly Account Reconciliations/Required Signatures** – Making sure account reconciliations are completed timely and on a monthly basis. Ensuring approver/reviewer of the account reconciliation is separate from the individual preparing the account reconciliation. One person having responsibility for both functions greatly increases the risk that unauthorized and/or fraudulent transactions go undetected.

Account Reconciliations

Receipts and expenditures must reconcile to the financial statements of account (the official UTD record). Accounts should be reconciled monthly. This account reconciliation requires two signatures, that of the person completing the reconciliation and a reviewer (usually the responsible person on the account). The reviewer (account manager) should carefully review the reconciliation for any unusual transactions. In addition, the account manager should monitor to ensure that timely follow-up and correction occurs for erroneous entries.

Annual Certification

Each year, as part of the year end closing and external reporting process UTD must certify the following:

- Financial reports are based on sound systems, processes and procedures.
- Expenditures have been incurred in accordance with applicable laws, rules, regulations and policies.
- Revenue is appropriately recognized.
- Systems and policies are in place to protect the integrity of the university's financial data and its resources.
- Accounts have been reconciled.

The certification reports are distributed to divisions and schools by the Office of Finance. The reports include the account listings for the particular unit and the certification letter. The division heads and deans have the option to pass the certifications to the individual account owners or the department heads. The certified reports must be returned to the Office of Finance before the annual financial report is finalized.

Cash, Checks or Gifts Receipts

UTD Departments may receive cash and/or checks for various reasons. Some examples include ticket sales, conference registration fees and long distance phone call reimbursements. Departments must follow UTD Business Procedure Memorandum (BPM) No. 26 when handling cash. BPM 26 outlines certain controls that must be in place, such as developing and maintaining written cash handling procedures, maintaining a "check log," protecting security of the cash/checks, reconciling cash reports and handling cash overages and shortages. Refer to http://www.utdallas.edu/business/admin_manual/pdf/bpm26.pdf for additional information.

Cash Management

Cash Handling Employees and Petty Cash Custodians must comply with UT System Policy 166 – Cash Management and Cash Handling Policy. Refer to <http://www.utsystem.edu/policy/policies/uts166.html>.

All such employees are required to complete annual training assigned through UTD's web-based compliance training system. In addition to annual training, the UT System Policy 166 requires that departments maintain complete documentation and audit trails for each transaction that involves cash, participate in random audits, balance and report cash transactions in an accurate and timely manner. The documentation of transactions and the balancing of cash at all points of transfer and transport are critical to maintain accuracy and safety of cash transactions.

Employees who handle cash also should be aware of UTD Business Procedure Memorandum No. 26. Refer to http://www.utdallas.edu/business/admin_manual/pdf/bpm26.pdf. Likewise, Petty Cash Custodians should be aware of UTD Business Procedure Memorandum No. 27. Refer to http://www.utdallas.edu/business/admin_manual/pdf/bpm27.pdf.

Charitable or Political Contributions

As a state agency, UTD cannot make charitable or political contributions from any source of funds.

Contracting for Goods and Services

A written contract is required to document a purchase unless the purchase is made using a UTD purchasing card or a purchase order. No employee is authorized to sign a contract or agreement that purports to bind the institution unless that employee has official written delegated authority to do so under the Regents' Rules and Regulations. The only persons authorized to sign contracts at UTD are the President, the Vice President for Business Affairs and the Assistant VP of Procurement Management. Regents' Rules and Regulations, Series 10501, can be obtained at <http://www.utsystem.edu/BOR/rules.htm>. The Procurement Management Office provides assistance with obtaining the appropriate signatures for contracts.

Contracts and Grants

Each school within UTD needs to designate an individual as a fiscal officer to provide support to principal investigators (PI) in the management of all sponsored contract and grant programs. Each school and its fiscal officer are responsible for developing procedures to meet UTD's policies on contracts and grants (http://finance.utdallas.edu/grants/pi-handbook-1_files/frame.htm). For example, schools must assure all financial records related to contracts and grants are retained for five years after the end date of a grant or five years after the end of an audit. Additionally, both the school and the PI are responsible for following UTD's effort policy. Refer to <http://www.utdallas.edu/finance/grants/time-effort-reporting.html>. The fiscal officer may also act as the school effort report coordinator.

The school's **effort coordinator** is responsible for:

- Distributing, collecting, and returning all effort reports from PIs.
- Performing an independent review of certified effort reports to comply with UTD policy.

The **Principle Investigator** is responsible for:

- Complying with all training mandated by UTD.
- Notifying the school of new proposals, awards, and related effort commitments.
- Expenses incurred in sponsored accounts.
- Reconciling accounts.
- Ensuring committed cost share accounts are opened and budgeted.
- Ensuring only allowable expenses are incurred.

Both the school and the PI must ensure that cost transfers are properly documented and completed within 90 days of the original transaction. In addition, each school must ensure that it complies with UTD's Cost Accounting Standard Disclosure Statement as described on the disclosure statement "fact sheet" document at the following link: <http://controller.utdallas.edu/grants/fact-sheet.html>.

Disbursements/Payments to UTD Employees

All payments to or for the benefit of UTD employees must be in accordance with personnel policies and compensation plans. Paying an individual as an independent contractor or a consultant when he or she should be paid as an employee is illegal and renders UTD liable to pay required taxes and/or penalties. Guidance should be obtained from the Human Resources Management prior to executing any consulting or independent contractor compensation arrangements. Refer to <http://www.utdallas.edu/hrm/forms/contractorchecklist.doc> for additional information.

Purchasing Cards

The Purchasing Card Program is authorized by the Texas Building and Procurement Commission through a State of Texas contract with JPMorgan Chase. This program is designed to delegate the authority and capability to purchase low-value items directly to the account manager. Use of the card significantly reduces the requirements to obtain purchase order numbers, process invoices for payments and prepare large numbers of voucher/payment documents. Managers need to be aware that cardholders and account managers are held **accountable** for following UTD Purchasing Card Guidelines and standard Purchasing and Discretionary Fund Guidelines. Some key things to remember are requirements to keep accurate and original records of purchases, reconcile monthly statements on a timely basis, and review the completed reconciliations to verify the accuracy and legitimacy of charges. For more information, visit the Purchasing Card Program Website at <http://www.utdallas.edu/business/procure/departments/purchcard/index.html> or review the UTD Discretionary Fund Policy at http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/e10.pdf.

Purchasing of Goods or Services

Managers may call vendors and get quotes on goods and service, but managers can not solicit formal, written bids from vendors. Quotes and estimates may be included with the purchase requisition. Contact Procurement Management if a formal written bid is required. In general, bids are required for purchases exceeding \$5000.

The funds of UTD cannot be used for personal gain. This includes the purchase of products for personal use, or the purchase of products or services from oneself or a relative, or from other department employees or their relatives.

Each individual involved in purchasing must observe high ethical standards which include, but are not limited to, obtaining the maximum value for each dollar of expenditure within the policies of UTD.

It is the policy of UTD to encourage Historically Underutilized Businesses (HUB) to bid on contracts and to assist those businesses in the bidding. Procurement Management provides expertise and assistance to each department in complying with the policy.

Workers Compensation/Employee Injury

Refer to Environmental Health and Safety.

For More Information

Visit the **Office of Finance** website

<http://finance.utdallas.edu/>

Visit the **Procurement Management** website

<http://www.utdallas.edu/utdgeneral/business/procure/>

Property Administration

Managers are legally and financially responsible for the proper custody, care, maintenance, and stewardship of University property assigned to their departments/units. The liability for the safekeeping of the university's assets extends to all faculty/staff employees using UTD's equipment. This means that faculty/staff members who do not exercise reasonable care for the safekeeping of UTD's assets will be held liable for any losses.

Inventory listings by location are maintained by Property Administration. The manager should develop internal mechanisms to control items that are frequently moved from one location to another.

Managers may assign specific duties to appropriate departmental employees. An employee may be assigned as property custodian to coordinate all property matters; i.e., annual inventories, transfers, correspondence, etc.

Managers need to be especially aware of the following areas:

- Equipment used off campus
- Annual Equipment Inventories
- Lost or Stolen Equipment
- Obsolete Equipment
- Reporting of Accidents Involving UTD Vehicles

Equipment

Each item will be physically located during the annual inventory process. Items not located will be considered missing and identified as such to the State Auditor's Office and, if necessary, the Attorney General's Office.

All rooms assigned to the department/unit should be adequately secured; i.e., locked when not in use. Report any missing equipment or unusual circumstances related to equipment security to the University Police immediately.

Each department must maintain complete records of equipment not on university premises. The department head and property manager must sign a Property Custody Receipt form (refer to <http://www.utdallas.edu/utdgeneral/business/procure/eforms/CustodyReceipt.doc>) on an annual basis. Equipment that is used in employees' homes or other locations remains the property of UTD and must be returned when no longer used for UTD business. Managers should ensure that each faculty/staff member completes a U.T. Dallas property custody receipt before removing equipment from the campus. Routing instructions require a photocopy to be submitted to University Police.

Rooms assigned to employees should be inventoried at the beginning of their employment and upon reassignment or termination. Equipment cannot be removed by departing faculty members despite grant/contract arrangements without prior approval from Property Administration.

Lost/stolen equipment should be reported to the University Police and Property Administration immediately upon recognition of loss.

Remove obsolete/damaged equipment by contacting Property Administration. University equipment cannot be sold, given away or discarded, except through Property Administration.

UTD Vehicles: See Environmental Health and Safety

For More Information

Visit the **Property Administration** website

<http://www.utdallas.edu/business/procure/departments/property/index.html>

Visit the **Property Administration Directory**

<http://www.utdallas.edu/business/procure/contact/directory.html#property>

Gifts to the University

Development Services and Alumni Relations: Soliciting and Accepting Gifts to UTD

Managers need to be especially aware of UTD and UT System policies for following areas:

- Accepting and Processing Gifts
- Cash Handling and Timeliness of Donor Acknowledgement
- Gift Restrictions and Donor Rights
- Solicitation of Gifts to UTD
- Difference between a gift and a contract

Accepting and Processing Gifts

The Office of Development is responsible for processing all gifts to UTD. All gifts (cash or non-cash) to any unit, must be reviewed and approved by the Development Office prior to official acceptance; and all donors must receive the appropriate acknowledgement and tax receipt for the gift, no matter how small. The UTD Gift Acceptance Procedures (GAP) provides the guidelines for the gift review, acceptance and processing. Training and assistance is available by contacting the Office of Development at 972-883-2295.

Cash Handling and Timeliness of Donor Acknowledgement

Cash and checks should be immediately forwarded to the Office of Development so that deposits may be made within 24 hours. If the cash or check is received after regular business hours, it should be secured under lock and forwarded to the Office of Development the next business day. This will allow the donor to receive a tax receipt and acknowledgement in a timely manner as well as prevent loss or theft of the gift and ensure compliance with UTD Cash Handling Policies. Refer to http://www.utdallas.edu/business/admin_manual/pdf/bpm26.pdf.

The respective dean, director, faculty member, or staff member is encouraged to send a written thank you to the donor for stewardship purposes. The official tax receipt and approval of the gift will be processed through the gift processing unit of the Development Office. Also an acknowledgement letter will be mailed from the Development Office.

Gift Restrictions/Donor Rights

Once gifts with restricted purpose are approved by the president or vice president of development, the gift must be utilized according to the donor's specified wishes, whether the restriction(s) were written or unwritten. Other UTD policies and state or federal law may further restrict how the gift is used by the university. If the donor's wishes conflict with UTD policy, state or federal laws and regulations, the gift may be renegotiated with the donor in order to be acceptable. If this is not possible, the gift must be declined.

The responsibility of honoring donor wishes rests with the faculty or staff as delegated by the president, dean, or director, but the donor's reasons for making the gift must also be conveyed to the person responsible for utilization of the gift. The general purpose of the gift will be recorded on the gift receipt.

Donors are entitled to be informed of how the gift is utilized. This is best accomplished by informing the donor of what has been accomplished with the gift, rather than just an accounting for the expenditures. Such stewardship is the responsibility of the donor's primary manager.

Solicitation of Gifts to UTD

Private sector support is critical to the university, and the Office of Development is primarily responsible for the coordination of efforts to acquire and sustain private sector support. This department is a resource to the president and his cabinet, deans, directors, faculty, and staff members who may also have responsibility or opportunity for solicitation of private sector support.

Solicitation of gifts of \$500,000 or more must have prior written approval of the president. The Office of Development will coordinate the request and approval for any solicitation in this amount. This procedure, along with others coordinated by the Office of Development, is implemented to avoid multiple solicitations of a single donor by U T Dallas fund raisers and to provide optimum stewardship of our supporters.

There are specific procedures for establishing an endowment that are distinct from other gifts. Acceptance and approval of an endowment gift requires special processing, and the gift/pledge must meet minimum amounts for the type of endowment established. The general categories of endowments include scholarships/fellowships, professorships or chairs, or program support/miscellaneous. The gift must be invested and only the cash distributions from the endowment principal can be utilized. The donor(s) determine the terms under which the cash distributions can be used. Endowments should be coordinated and finalized by the director of endowments in the Development Office. Training and assistance with endowments is available by calling the director at 972-883-2239 or the main Development Office number at 972-883-2295.

IS IT A GIFT OR A CONTRACT?

The following general guidelines assist in the determination of whether funds should be processed as gifts or as contracts and grants. Gifts are processed through the Office of Development; contracts and grants are processed through the Office of Sponsored Projects.

Gifts

Funds that are donated or pledged by an outside source are considered gifts when the following situations apply:

- Prior to offering the funds, the donor specifies, verbally or in writing, the purpose for the gift and with no conditions nor future control of the funds.
- In accepting the funds, the university agrees to the purpose of the gift. If donor restrictions are illegal, impractical, or the university is unable to meet the restrictions on the gift, the university will not submit the gift to The University of Texas Board of Regents (BOR) for approval.
- The donor(s) relinquish control of the gift once it is accepted by the university and approved by the BOR.

Contracts and Grants

Projects with the following objectives are not considered gifts and are processed through the Office of Sponsored Projects:

- Projects that have government sponsorship;
- Projects with specific research, service obligations or deliverables that are a condition of the funding, thus creating an exchange value between the funding source and U T Dallas;
- Projects that are subject to indirect costs (specified by the university)

For More Information

Contact the **Development Office**

972-883-6504 or 972-883-2317

Laura Beall, Interim VP of Development

Barbara Seale, Director of Endowment Services and Compliance

Contact the **Office of Alumni Relations and Annual Giving**

Erin Dougherty

972-883-2328

Information Resources Management

Information Resources provides campus-wide support for computing, communications, and related technologies. It is headed by the Vice President and Chief Information Officer and is composed of six directorates:

- **Academic Computing and User Services** provides helpdesk support to the UTD community, desktop computing support, classroom media support, audio-video services, WebCT support, software training and general access computer labs.
- **Architecture and Infrastructure Services** is responsible for the design and operation of the computing infrastructure supporting the administrative and academic applications, including management of the data center facilities and all aspects of server administration.
- **Enterprise Application Services** is responsible for supporting the major central administrative application systems—the Student Information Systems (SIS), the Financial Information System (FINS), and the Human Resources Management System (HRMS), plus various ancillary systems such as budget, capital assets, etc.
- **Information Security** provides proactive security analysis, develops a robust security architecture and ingrains security awareness into the university's environment. ISO works in partnership with the various Information Resources departments, Internal Audit, Compliance and Information Technology representatives from each school to support the university's mission and goals.
- **Networking and Telecommunication Services** is responsible for the design, support and operation of the campus backbone network and its connections to external networks including the Internet, support of shared and selected school and departmental UNIX platforms, and campus telecommunications (telephone).
- **Program Management Office** analyzes requests for new services and provides coordination and oversight to establish their viability, either through redirection of existing resources, acquisition of new resources, or outsourcing.

Managers must contact Information Security in the event of the following:

- Obtain an exception to IR Security Policies and Procedures
- Report an Information Security Incident
- Submit requests for an external facing IP address
- Registering all servers using the UTD Server Registry
- Request guidance with classifying departmental data
- Purchasing new software/Initiate Security Vetting process

The manager, in collaboration with the Information Resources Department, has responsibility for demonstrating to all employees the proper use and protection of information resources and for requiring department/unit employees and any contracted workers to adhere to UTD policies relating to the use and protection of information resources. The manager is specifically responsible for the following:

- Establishing a proper control and access environment within the department to safeguard information resources.
- Establishing custodial relationships for departmental data.
- Classifying information, establishing its value, specifying data control requirements, and conveying such to users and custodians of the information.
- Safekeeping of all equipment, software, and data used by departmental staff.
- Maintaining proper access and security for all state-owned equipment and software.
- Overseeing the proper use of all state-owned information resources under departmental control; including the monitoring of long distance activity.
- Requiring departmental employees to participate in any mandatory training concerning compliance with policies relating to the proper use and security of information resources.
- Performing risk assessments and maintaining business continuity plans in preparation for continued operations in event of non-planned business interruptions.
- Approving and maintaining information published by department employees on UTD web servers.

Managers need to be especially aware of the following areas:

- Security of Resources - <http://www.utdallas.edu/ir/security/Policies.htm>
- Confidentiality of Information
- Copyrighted Materials - <http://www.utdallas.edu/ir/security/PoliciesDMCA.htm>
- Account Sponsorship Renewals/Terminations - <https://netid.utdallas.edu>
- Quarterly Audits of User Access
- Monthly Telephone Bills – Long Distance Verification - <http://www.utdallas.edu/ir/telecom/>
- Disaster Recovery Planning

For More Information

Visit the Information Resources website

<https://www.utdallas.edu/ir>

Visit the Information Security website

<https://www.utdallas.edu/ir/security>

Environmental Health and Safety

The Office of Environmental Health and Safety has the responsibility for oversight of health and safety within the university and is a principal contact for faculty, staff and students to address health and safety issues or concerns. The EH&S Office works with faculty, staff, and students in the department to identify potential hazards associated with their operations and activities. The main objective is to clearly identify and understand safety responsibilities, while providing the means and authority necessary to carry out those responsibilities

The Office of Environmental Health and Safety oversees 65 programs at UTD. These programs are located on their website and are categorized into five major areas: Laboratory Safety, Fire and Life Safety, Environmental Management, Occupational Safety, and Industrial Hygiene. The EH&S website has information, documents, and manuals to assist the faculty, staff and students to function safely and stay within local, State and Federal guidelines. Refer to <http://www.utdallas.edu/business/safety/>.

The EH&S Office is responsible for preparing and maintaining programs, licenses, permits, documentation, and reporting required by environmental regulations; remaining apprised of changes to applicable laws and regulations, and assessing the effects on UTD operations; and supervising spill response, due diligence, and site investigation efforts.

Faculty, staff and students of UTD should contact the EH&S Office to:

- Report any accident, incident or observed safety hazard;
- Request aid in addressing a perceived environmental, health or safety concern; or
- Obtain information related to these issues.

The Safety and Security Council is appointed by the Provost's Office, consisting of representatives from a cross-section of the University. The Safety and Security Council may assist the EH&S Office in developing and implementing action plans to address health and safety concerns.

Managers need to be especially aware of the following problem areas:

- Emergency Preparedness
- Fire and Life Safety
- Laboratory Safety
- Hazardous Materials
- Hazardous Waste Disposal
- Employee Injuries

Managers are responsible for ensuring that staff and students have a safe and healthy work environment and that departmental staff adheres to the safety procedures of the university on a day to day basis. Managers are specifically responsible for:

- Implementing safety procedures and seeking remedies when problems are encountered.
- Promoting compliance with all relevant local, State, and Federal health and safety regulations.
- Ensuring that appropriate persons are briefed on safety procedures unique to their administrative units.
- Assuring that procedures are in place to obtain prompt medical treatment upon notification that someone is injured.
- Recommending attendance by appropriate faculty and staff at safety training seminars offered or arranged by the EH&S Office.

For More Information

Visit the **Environmental Health and Safety** website
<http://www.utdallas.edu/business/safety/>.

Emergency Preparedness

The UTD Police Department and the Office of Environmental Health and Safety have partnered to establish the Office of Emergency Management (OEM). This collaboration enables UTPD and EH&S to serve the University community with a higher level of service and response by combining resources and training.

We can't prevent natural disasters, but we can be ready for them. Tornadoes, thunderstorms, flooding, hurricanes, and drought can bring on devastation and a sense of helplessness to families and businesses. Being prepared before the disaster strikes can help to mitigate the effects of disaster. During chemical spills, biological incidents and other man-made disasters, we need to know when and where to shelter in place and when to evacuate. Training, education and collaboration are key elements for preparedness and safety of our university community, neighborhoods and business communities.

At The University of Texas at Dallas, the Office of Emergency Management (OEM) is committed to create a prepared university community of faculty, staff and students through collaborative disaster preparedness and response/recovery training and education. OEM's goal is to create awareness and provide proactive solutions so they can help themselves, their families and others in the next disaster.

Managers need to be especially aware of the following:

- Guidelines have been created for UTD employees, students and visitors on what to do in case of a fire, tornado warning, building evacuation, suspicious person, suspicious letter or package, or chemical/hazardous material spills. The guidelines are available at <http://www.utdallas.edu/police/images/misc/emergencyplan.gif>.
- Specific areas on campus have been designated as evacuation areas. The evacuation areas are noted here: <http://www.utdallas.edu/police/files/OEM/UTD%20Evac%20Areas.pdf>.
- The University maintains a list of users who want to be warned via text message if a campus emergency occurs. More information is available at <http://www.utdallas.edu/alertfaq/>.

For More Information

Contact UTD's **Emergency Management Coordinator**

Dorothy Miller

972-883-2420

dorothy@utdallas.edu

Visit the **Office of Emergency Management** website

<http://www.utdallas.edu/police/oem.html>.

Records and Retention

A records management program provides a structured approach to records creation, retention and disposition. It provides for the application of management techniques to improve the efficiency of record-keeping. Records are a valuable resource because they provide proof of particular actions, evidence to protect the rights of individuals or the government, and they support the decisions that are made in conducting business. The information contained in records is a valuable resource and an important asset.

Managers should establish a system of procedures, standards and controls to effectively manage records. Effective procedures, standards and controls should result in:

- Storing only records that have legal, financial, administrative or historical value;
- Faster and easier retrieval of needed information, giving staff more time for other essential tasks;
- Cost benefits from reduces requirements for equipment, space, staff time and the general overhead costs of processing and maintaining records;
- Assurance that all federal, state and agency requirements are met before records are destroyed;
- Assurance that records required for litigation, audit or public information requests are not destroyed until the matter is settled;
- Documentation providing proof of disposition of records in accordance with established retention policies;
- Identification and protection of vital or essential records to assure the continuity of business in the event of disaster;
- Identification and preservation of historical records; and
- Ability to comply with the Public Information Act.

For More Information

Contact the **Director of Business Services**

Teresa Johnston

972-883-6771

Teresa.Johnston@utdallas.edu

Refer to the UTD Records Retention Policy

http://www.utdallas.edu/business/admin_manual/pdf/A11050.pdf

Texas Public Information Act

It is the policy of the State of Texas that each person is entitled, unless otherwise expressly provided by law, to complete information about the affairs of government and the official acts of public officials and employees in accordance with the Texas Public Information Act (the “Act”), Government Code, Chapter 552.

For detailed information on the Texas Public Information Act, see the Business Affairs Administrative Policies and Procedures Manual, Section A, A2-100.0 – A2-100.1.7. Refer to http://www.utdallas.edu/business/admin_manual/generaladmin.htm.

- Managers should be aware of these aspects when dealing with requests for information:
- The Vice President for Business Affairs is the officer for public information at The University of Texas at Dallas (UT Dallas).
- Each manager should take appropriate steps to assure that his or her employees recognize a request for information under the Act.
- Written requests for information should be forwarded immediately to the Vice President for Business Affairs for handling, since time is of the essence. The University must respond to the requestor within 10-business days by either: 1) providing the information or an estimated cost to produce the information so the requestor can agree to the cost or amend the request; or 2) notifying the requestor that the University will seek an exception to release of the documents from the Attorney General.

In addition, UT Dallas strives to cooperate with the news media in their efforts to report to the public on issues and events of interest involving the university, administrators, faculty, staff, students, programs and activities. Media inquires (other than formal requests under the Public Information Act) should be directed to the Office of Communications. Refer to <http://www.utdallas.edu/communications/>.

For More Information

Contact the **Office of Business Affairs**

972-883-2213

<http://www.utdallas.edu/businessaffairs/>

Resource Department Descriptions

Resource Departments provide a variety of services to assist managers. Those services include expertise and assistance in interpreting policy and legal requirements, formal and informal training, and compliance monitoring.

Executive Vice President and Provost

Serving as the chief academic officer for the university, the Provost serves as deputy to the President and is responsible for the formulation and implementation of educational policies relating to academic personnel and programmatic actions. The Provost also has a significant role in fund raising and external relations for the university.

<http://www.utdallas.edu/provost/>

ACADEMIC PERSONNEL

The UTD Executive VP & Provost's Office administers and coordinates University policies and procedures relating to academic personnel and programmatic actions. These include:

- Setting academic budgets
- Hiring of faculty and other academic staff
- Faculty and academic staff annual reviews
- Compensation plans
- Interpreting and communication policy
- Space allocation
- Monitoring faculty teaching activities
- Monitoring appropriateness of time committed to outside professional activities.

ACADEMIC SERVICES

The UTD Executive VP & Provost's Office administers and coordinates University policies and procedures relating to academic employee relations including the following:

- Terms and conditions of academic employment
- Faculty rights, privileges and responsibilities
- Faculty misconduct
- Faculty discipline
- Academic review process
- Related ethical and legal issues.

Enrollment Management

The Office of Enrollment Management directs a broad-reaching recruitment, enrollment and retention campaign for the University — coordinating the Office of the Registrar, the Financial Aid Office and Enrollment Services — to ensure the continued growth and retention of talented students while maintaining academic records for all who enroll.

<http://www.utdallas.edu/enroll-manage.html>

Audit and Compliance

The Office of Audit and Compliance helps UT Dallas accomplish its mission in learning, research, and public service by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of operations, and by promoting and supporting a culture of compliance and control consciousness.

Internal Audit is an independent function of the governance process of the University of Texas System. It provides periodic assurance to the Board of Regents and executive management on the component institution's ability to achieve its objectives. Compliance is part of the control structure of the organization, whereas internal auditing evaluates the control structure — a key difference between the two functions.

One of the key goals of the UTD Compliance Office is to build compliance and risk awareness into the daily activities of the University. This is accomplished through the facilitation and oversight of the Compliance Training program at the University. Compliance training is required of all regular, benefit-eligible employees. The training program provides basic information about laws and regulations with which employees must comply. In addition, the training provides references regarding who employees can talk to, and websites they can visit for more information.

For more information, please visit the following websites:

UTD Audit and Compliance Homepage
<http://www.utdallas.edu/audit-compliance/>

UT System Action Plan to Enhance Internal Controls - 1996
<http://www.utsystem.edu/aud/ReferenceDocs/96action.doc>

UT System Action Plan for Institutional Compliance - 2003
<http://www.utsystem.edu/aud/ReferenceDocs/ActionPlan2003.pdf>

Business Affairs

As the chief financial officer for the university community, the Vice President for Business Affairs has responsibility for all fiscal matters including the Budget, Controller, Procurement Management and Payroll offices. In addition, the VPBA has oversight for construction and maintenance of the facilities, safety and security of the campus, human resources as well as any auxiliary services. In his role, the VPBA is designated as the Custodian of Records and the Ethics Officer for the university.

<http://www.utdallas.edu/businessaffairs/>

BUSINESS AFFAIRS – BUSINESS SYSTEMS AND RISK MANAGEMENT

UT System coordinates the purchase of insurance policies for component institutions. This includes policies that cover multiple components (such as the System-wide Auto Liability policy) and policies that apply to specific risks at individual components. Please contact the Office of Business Affairs if you are concerned about a special risk due to a potential contractual arrangement or special circumstances within your department, and would like to discuss it.

BUDGET AND RESOURCE PLANNING

The mission of the Budget Office is to contribute to prudent financial management of UTD by facilitating the development and administration of the annual university operating budget consistent with the strategic plan of the institution, leading in preparation of the university's biennial request for legislative appropriations, monitoring fiscal impact of proposed legislation, and preparation of various budget and financial reports as required by various state agencies and internal management.

ENVIRONMENTAL HEALTH AND SAFETY

The Department of Environmental Health and Safety (EHS) assists the university in its mission by promoting a safe and healthy environment for faculty, staff, students, and visitors. EHS serves the university community through technical and regulatory compliance assistance, informational and training programs, consulting services, environmental monitoring and testing, periodic audit of campus activities and the inspiration of a safety conscious culture.

FACILITIES MANAGEMENT

The mission of the Facilities Management is to provide an environment conducive to the academic processes of teaching and research and to provide a pleasant environment for the day to day activities of faculty, staff and students. Facilities Management will do this in an efficient and cost effective manner in order to protect the assets of the citizens of Texas. The responsibilities of Facilities Management include Building Maintenance, Custodial Services, Grounds Maintenance, Campus Utilities Management, Fleet Vehicle Maintenance, Planning, Designing, and Estimating Facility Remodeling/Expansions, and Project Management and Inspection.

FINANCE

The Office of Finance is responsible for managing the overall accounting, treasury and financial services operations of the University. This includes managing internal controls to mitigate risk; ensuring that the official accounting records of the University are up-to-date and accurate; safeguarding the assets of the University to minimize risk of financial loss; and developing and maintaining robust costing systems and reporting tools to provide high-quality financial information that supports the University's strategic management initiatives.

The mission of this office is to maintain a sound and effective internal control environment to ensure compliance with generally accepted accounting principles as well as relevant federal and state regulations.

HUMAN RESOURCES MANAGEMENT

The purpose of the Human Resources Management is to assist in the development, maintenance, and interpretation of sound human resources policies and procedures in accordance with federal and state laws, U.T. System Rules and Regulations, and UTD institutional policies. Human Resources Management is responsible for the execution of all policies and regulations at the University on an equitable basis for all employees.

Activities of the Human Resources Management include, but are not limited to:

- Wage and salary administration
- Job classification and evaluation
- Employee benefits administration
- Personnel records administration
- Employee relations
- Staff employment
- Leave administration
- Working conditions and safety
- Discipline and termination
- Affirmative action/equal opportunity
- Employee development, education and training

PROCUREMENT MANAGEMENT

Procurement Management is committed to obtaining in a timely, lawful and cost-efficient manner the goods and services needed to benefit the University's mission: to provide educational and research programs of the highest quality. The Procurement Management Team oversees accounts payable, central receiving and mail services, property administration, purchasing, purchasing card program, travel, print shop and auxiliary services such as the UTD Bookstore and UTD Food services.

UNIVERSITY POLICE

The UT Dallas Police Department is comprised of commissioned and non-commissioned personnel. All commissioned Police Officers are state certified through the Texas Commission on Law Enforcement Officer Standards and Education (TCLEOSE). Our non-commissioned officers enhance the services we provide by assisting in calls for service; such as escorts and vehicle assists; traffic and parking control; building security checks and special events. The Department employs dozens of other professionals in our state-of-the-art Communications / 911 Dispatch Center as well as administrative support staff. Our agency has a Patrol Division, Criminal Investigation Division, Communications Division, Crime Prevention Unit, Training Unit and several other important components.

The UT Dallas Police Department is a fully functional, modern law enforcement agency. The Department is open and operates 24 hours a day, 365 days a year. All of our Police Officers have broad jurisdiction and are empowered and equipped to respond and investigate all calls for service, criminal offenses and non-criminal incidents on campus; to include university housing – University Village and Waterview Park Apartments.

Communications

The Office of Communications provides strategic leadership to meet the challenge of shaping the character, direction and underlying principles of institutional communications at UT Dallas and takes primary responsibility for organizing university-wide resources in the areas of communication and marketing, brand identity and positioning, internal and external communications, message content, media visibility/media relations, and crisis communication.

<http://www.utdallas.edu/communications/>

Development

The Office of Development supports the university's fundraising efforts, working closely with the university's deans and program directors.

<http://www.utdallas.edu/development/>

OFFICE OF ALUMNI RELATIONS AND ANNUAL GIVING

The Office of Alumni Relations and Annual Giving is responsible for developing, managing and promoting programs and services that engage and steward over 50,000 UTD alumni in the life of the university. Each year, a comprehensive stewardship program is planned and implemented for all UTD alumni. This program focuses on presenting social, educational, and professional development opportunities that allow alumni to engage with one another and also the university, while also cultivating and recognizing alumni donors and their philanthropy.

Information Resources

The department of Information Resources provides information technology, equipment and services that support the university in accomplishing its research, instructional, and public service functions.

<http://www.utdallas.edu/ir/>

Legal Coordination

The U. T. System Office of General Counsel is responsible for providing legal counsel to campus offices in coordination with the Office of Business Affairs. In addition, the office reviews and/or drafts agreements and other documents used on campus. Additional functions performed are coordination of conflict of interest, personal privacy and confidentiality of records matters.

<http://www.utsystem.edu/ogc/homepage.htm>

Public Affairs

The Office of Public Affairs, administered by the Vice President for Public Affairs, has responsibility for the university's government and community relations. Specifically, the office focuses on building effective relationships with elected and appointed leaders, monitoring legislative and regulatory initiatives, and developing the university's presence among civic and community groups.

<http://www.utdallas.edu/publicaffairs/>

Research

The Office of the Vice President for Research enhances UT Dallas' research profile by anticipating new technology, potential collaboration partners and research opportunities for the university.

<http://www.utdallas.edu/research/>

SPONSORED PROJECTS AND RESEARCH COMPLIANCE

This office coordinates and oversees:

- identification of prospective funding agencies,
- obtaining of proposal applications
- interpretation of agency guidelines
- budget preparation
- internal clearances
- grant/contract negotiation
- post-award grant/contract management
- approval of all research including bio-safety, human and animal subjects
- review and approval of intellectual property and conflict of interest issues

INTELLECTUAL PROPERTY

Pursuant to the U.T. System Intellectual Property Policy and Guidelines, the Office of Technology Transfer manages the following activities related to campus inventions, technological developments and copyrightable works, including software:

- disclosure
- patenting
- copyrighting
- marketing
- licensing

Specific provisions of this office include:

- informing and advising on policies, procedures and practices governing intellectual property rights and employee intellectual property obligations;
- evaluating the ability to patent, trademark, or copyright intellectual property
- evaluating the rights and equities of the University in an invention;
- negotiating agreements with cooperating organizations with respect to patents and other intellectual property rights;
- assisting in sponsored negotiation;
- managing intellectual property attorney billings and payment, and
- managing other biological and tangible research materials.

RESEARCH INVOLVING HUMAN SUBJECTS

The Office of Research Compliance also oversees the use of human beings in research and the Institutional Review Board for the Protection of Human Subjects. The Office works closely with the federal government for the implementation of policies and procedures affecting the use of human beings in research activities. Any faculty, staff, or student who intends to conduct or supervise research (whether funded or not) which would involve human beings as subject must obtain permission from the Institutional Review Board for the Protection of Human subjects. This includes the participation of human beings of all ages in surveys and research experiments.

RESEARCH INVOLVING THE USE OF ANIMALS

The Office of Research Compliance also oversees the use of animals in research and the Institutional Care and Use Committee. The Office works closely with the federal government for the implementation of policies and procedures affecting the use of animals in research activities.

Any faculty, staff, or student who intends to conduct or supervise research (whether funded or not) which would involve animals must obtain permission from the Institutional Animal Care and Use Committee (IACUC). Permission to use an animal in research must be obtained prior to ordering, bringing to campus, or housing an animal on campus.

RESEARCH INVESTIGATOR FINANCIAL DISCLOSURE

The Office of Research Administration and Sponsored Projects is responsible for oversight of university policy and procedures governing research investigator financial disclosure and conflict of interest. This also includes oversight of the University's Research Integrity Committee. Any faculty, staff or student who is responsible for the design, conduct or reporting of research or education activities sponsored, in whole or in part, by the National Institutes of Health or the National Science Foundation must submit a Principal Investigator Financial Disclosure Form for approval to the University's Research Integrity Committee. The committee will determine if a conflict of interest exists and will decide appropriate action that the investigator needs to take to manage, reduce or eliminate the conflict.

Strategic Planning and Analysis

The Office of Strategic Planning and Analysis supports the achievement of UT Dallas' mission in research, learning, teaching and public service through effective planning, institutional research and evaluation.

<http://www.utdallas.edu/ospa/>

Guided by the University's Strategic Plan, SPA's emphasis is on improving the University through institutional and campus-wide initiatives and the use of:

- Planning
- Research assessment
- Research evaluation

SPA is the focal office for both internal and external planning and reporting requirements including, but not limited to:

- UTD's Strategic Planning, Management, and Institutional Effectiveness Reviews
- Benchmarking and Benchmark Analysis
- U.T. System Strategic Planning
- Texas Legislature's Performance Measures
- Texas Higher Education Coordinating Board Plans and Reports
- SACS Commission on Colleges Accreditation

Student Affairs

The Office of Student Affairs, administered by the Vice President for Student Affairs, has responsibility for issues affecting undergraduate and graduate students. Specifically, the office provides oversight for student services, including health, counseling, career center, student life, women's center, athletics, and housing operations.

<http://www.utdallas.edu/studentaffairs/>

For More Information

UT Dallas Organization Chart

<http://www.utdallas.edu/hrm/orgcharts/>

UT Dallas Administration

<http://www.utdallas.edu/administration/>

Resources, Policies and Statutory Provisions

The following are links to additional resources, UT Dallas and UT System policies and state mandates of which managers should be aware.

Ethical Conduct

THE UNIVERSITY OF TEXAS AT DALLAS

Administrative Policies and Procedures – Code of Ethics

http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/d111100.pdf

Standards of Conduct Guide

http://www.utdallas.edu/audit-compliance/compliance_conductguide.htm

THE UNIVERSITY OF TEXAS SYSTEM

Board of Regents Rules and Regulations – Series 30103 Standards of Conduct

<http://www.utsystem.edu/BOR/rules.htm>

Office of General Counsel Ethics Homepage

<http://www.utsystem.edu/OGC/ethics/homepage.htm>

STATUTORY PROVISIONS

State of Texas Statutes

<http://tlo2.tlc.state.tx.us/statutes/statutes.html>

- Education – Title 3, Higher Education (Chapters 51 – 62)
- Government – Title 5, Open Government, Ethics (Chapters 551 – 575)
- Government – Title 6, Public Officers and Employees (Chapters 601 – 669)
- Government – Title 10, General Government, Higher Education, Certain Goods and Services (Chapters 2113 – 2310)
- Penal Code – Title 7, Offenses Against Property (Chapters 28 – 35)
- Penal Code – Title 8, Offenses Against Public Administration (Chapters 36 – 39)

Environmental Health and Safety

THE UNIVERSITY OF TEXAS AT DALLAS

Office of Environmental Health and Safety

<http://www.utdallas.edu/business/safety/>

Administrative Safety Manual

<http://www.utdallas.edu/business/safety/newpage/Manuals/Admin.pdf>

STATUTORY PROVISIONS

Texas Solid Waste Disposal Act

<http://tlo2.tlc.state.tx.us/statutes/docs/HS/content/htm/hs.005.00.000361.00.htm>

Federal Solid Waste Disposal Act

http://www.access.gpo.gov/uscode/title42/chapter82_.html

State of Texas Statutes

<http://tlo2.tlc.state.tx.us/statutes/statutes.html>

- Health and Safety – Title 5, Sanitation and Environmental Quality, Radioactive Materials (Chapter 401)

Texas Public Employer Community Right-to-Know Act

<http://tlo2.tlc.state.tx.us/statutes/docs/HS/content/htm/hs.006.00.000506.00.htm>

Texas Hazard Communication Act

<http://tlo2.tlc.state.tx.us/statutes/docs/HS/content/htm/hs.006.00.000502.00.htm>

The United States Atomic Energy Act

<http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr0980/ml022200075-vol1.pdf>

Financial Stewardship and Property Administration

THE UNIVERSITY OF TEXAS AT DALLAS

Administrative Policies and Procedures – Accounting and Finance Section

http://www.utdallas.edu/utdgeneral/business/admin_manual/acctandfinance.htm

Budget Office

<http://www.utdallas.edu/budget/>

Finance Office

<http://finance.utdallas.edu/>

THE UNIVERSITY OF TEXAS SYSTEM

UT System Policy 128 – Consulting Contracts Policy and Procedures Guide

<http://www.utsystem.edu/policy/policies/uts128.html>

UT System Policy 145 – Processing of Contracts

<http://www.utsystem.edu/policy/policies/uts145.html>

Historically Underutilized Businesses (HUB) – Regents Rule 20701

<http://www.utsystem.edu/BOR/rules.htm>

STATUTORY PROVISIONS

State of Texas Statutes

<http://tlo2.tlc.state.tx.us/statutes/statutes.html>

- Education – Title 3, Higher Education (Chapters 51 – 62)
- Government – Title 5, Open Government, Ethics (Chapters 551 – 575)
- Government – Title 6, Public Officers and Employees (Chapters 601 – 669)
- Government – Title 10, General Government, Higher Education, Certain Goods and Services (Chapters 2113 – 2310)

Human Resources Management

THE UNIVERSITY OF TEXAS AT DALLAS

Human Resources Home Page

<http://www.utdallas.edu/hrm/>

Hiring an Employee

<http://www.utdallas.edu/hrm/employment/hiring.php5>

Equal Opportunity/Affirmative Action

http://www.utdallas.edu/business/admin_manual/pdf/D111950.pdf

Non-Discrimination

http://www.utdallas.edu/business/admin_manual/pdf/D111950.pdf

Terminating Employment

<http://www.utdallas.edu/hrm/toolkits/assignments/terminationseparation.php5>

THE UNIVERSITY OF TEXAS SYSTEM

Board of Regents Rules and Regulations Series 3000

<http://www.utsystem.edu/bor/rules.htm#A4>

STATUTORY PROVISIONS

The Age Discrimination in Employment Act of 1967

<http://www.eeoc.gov/policy/adea.html>

American with Disabilities Act of 1990

<http://www.eeoc.gov/ada/>

Civil Rights Act of 1991

<http://www.eeoc.gov/policy/cra91.html>

Equal Pay Act of 1963

<http://www.eeoc.gov/policy/epa.html>

Executive Order 11246 – Equal Employment Opportunity

<http://www.dol.gov/esa/ofccp/regs/compliance/fs11246.htm>

Fair Labor Standards Act

<http://www.dol.gov/esa/whd/flsa/>

Family and Medical Leave Act of 1993

<http://www.dol.gov/esa/whd/fmla/>

Pregnancy Discrimination Act of 1978

<http://www.eeoc.gov/facts/fs-preg.html>

Title VII of the Civil Rights Act of 1964

<http://www.eeoc.gov/policy/vii.html>

Section 504 of the Rehabilitation Act of 1973

<http://www.section508.gov/index.cfm?FuseAction=Content&ID=15>

Uniformed Services Employment and Reemployment Rights Act

<http://www.osc.gov/userra.htm>

Vietnam Era Veterans Readjustment Assistance Act of 1974

<http://www.dol.gov/compliance/laws/comp-vevraa.htm>

Information Resources

THE UNIVERSITY OF TEXAS AT DALLAS

Information Resources Use and Security Policy

<http://www.utdallas.edu/ir/security/policies/a51100.pdf>

Information Resources Security Operations Manual

<http://www.utdallas.edu/ir/security/documents/SecurityOperationsManual.pdf>

Information Resources Acceptable Use Policy

http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/a51300.pdf

Data Classification Standards

<http://www.utdallas.edu/ir/security/documents/DataClassificationStandards.pdf>

Minimum Security Standards for Systems Associated with Category I, II or III Data

<http://www.utdallas.edu/ir/security/documents/MinimumSecurityStandards.pdf>

Server Management Policy

<http://www.utdallas.edu/ir/security/PoliciesServerManagement.htm>

Extended List of Category I Data

<http://www.utdallas.edu/ir/security/documents/Extendedlistcategory-1data.pdf>

Encryption Policy

<http://www.utdallas.edu/ir/security/PoliciesEncryption.htm>

University E-mail Policy

<http://www.utdallas.edu/ir/security/policies/a51200.pdf>

University Privacy Policy

<http://www.utdallas.edu/privacy/>

Security Exception Reporting Process

<http://www.utdallas.edu/ir/security/documents/exception.pdf>

Report an Incident

<http://www.utdallas.edu/ir/security/documents/IncidentReportingProcedures.pdf>

Obtaining an External IP Address for a Web Server

<http://www.utdallas.edu/ir/security/PoliciesExternalIP.htm>

Computer Software Copyright

<http://www.utdallas.edu/ir/security/PoliciesCopyright.htm>

Digital Millenium Copyright Act

<http://www.utdallas.edu/ir/security/PoliciesDMCA.htm>

Network Connection Policy

http://www.utdallas.edu/utdgeneral/business/admin_manual/pdf/A51000.pdf

State and Federal Laws

<http://www.utdallas.edu/ir/security/PoliciesLaws.htm>

THE UNIVERSITY OF TEXAS SYSTEM

UT System Policy 165 – Information Resources Use and Security Policy
<http://www.utsystem.edu/policy/policies/uts165.html>

Security Practice Bulletin #1 (SPB-1)
<http://www.utdallas.edu/ir/security/documents/InformationSecurityPracticeBulletin1.pdf>

SPB-1 Frequently Asked Questions
<http://www.utdallas.edu/ir/security/documents/FAQforSPB1.pdf>

Office of Information Technology
<http://www.utsystem.edu/otis/>

Use of Copyrighted Materials
<http://www.utsystem.edu/ogc/intellectualproperty/copypol.htm>

STATUTORY PROVISIONS

Health Insurance Portability and Accountability Act (HIPAA)
<http://www.hipaa.org/>

Family Educational Rights and Privacy Act (FERPA)
<http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>

Gramm-Leach-Bliley (Financial Modernization Act)
<http://www.ftc.gov/privacy/privacyinitiatives/glbact.html>

Sarbanes-Oxley
<http://thecaq.aicpa.org/Resources/Sarbanes+Oxley/>

Texas Administrative Code 202 – Information Security Standards
[http://info.sos.state.tx.us/pls/pub/readtac\\$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=202&rl=Y](http://info.sos.state.tx.us/pls/pub/readtac$ext.ViewTAC?tac_view=4&ti=1&pt=10&ch=202&rl=Y)

Texas Senate Bill 11 - Medical Records Privacy
<http://www.legis.state.tx.us/tlodocs/77R/billtext/html/SB000111.HTM>

Open Records

STATUTORY PROVISIONS

Attorney General of Texas – Website on Open Records

<http://www.oag.state.tx.us/opinopen/opengovt.shtml>

Texas Government Code; Title 5, Chapter 552, Subchapter

A <http://tlo2.tlc.state.tx.us/statutes/docs/GV/content/pdf/gv.005.00.000552.00.pdf>

Records Retention

THE UNIVERSITY OF TEXAS AT DALLAS

Records Retention Policy

http://www.utdallas.edu/business/admin_manual/pdf/a11000.pdf

Records Retention Schedule

http://www.utdallas.edu/business/admin_manual/pdf/REC-2003-rev.pdf

THE UNIVERSITY OF TEXAS SYSTEM

University of Texas System Records and Information Management and Retention Policy

<http://www.utsystem.edu/policy/policies/uts115.pdf>

STATUTORY PROVISIONS

Texas Administrative Code; Title 13, Part 1, Chapter 6, Subchapter A & C

[http://info.sos.state.tx.us/pls/pub/readtac\\$ext.ViewTAC?tac_view=4&ti=13&pt=1&ch=6](http://info.sos.state.tx.us/pls/pub/readtac$ext.ViewTAC?tac_view=4&ti=13&pt=1&ch=6)

Texas Government Code; Chapter 441; subchapter

L <http://tlo2.tlc.state.tx.us/statutes/docs/GV/content/pdf/gv.004.00.000441.00.pdf>