

**Management Assessment Tool (MAT)**  
**Last revised September 16, 2016**

*Note to Mac Users:*

*In order for the links to function correctly, you must open in Adobe Reader or Professional - Not in Preview*

The MAT has been designed to assist administrators/managers with the annual certification process. As someone with administrative or supervisory responsibilities, you have a stewardship responsibility to:

- Support and enhance the mission of UTSA
- Ensure that the University fulfills its legal and financial obligations to internal and external stakeholders
- Safeguard the University's financial, human, information and physical assets
- Create an atmosphere that encourages all members of the University community to contribute to the overall excellence of the University.

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OVERVIEW		
STATEMENT/QUESTION	RESOURCES	BEST PRACTICES/SUGGESTIONS
1. All employees paid from my Cost Center(s)/Project ID(s)/Project ID(s) for which I am the Department Manager have completed their required compliance training (SCT2016).	<a href="#">My Training</a>  <a href="#">Handbook of Operating Procedures (HOP) 9.40 - General Compliance Training</a>	<ul style="list-style-type: none"> <li>• Emphasize to all employees the importance of completing online compliance training. Employees will be notified via email when training has been assigned and will be given a deadline to complete the training. Supervisors and Vice Presidents will be notified of non-completion.</li> <li>• New employees will be assigned training within 30 days of hire.</li> <li>• As of January 2011, existing employees are required to complete refresher training every other year, depending on employee's reporting structure.</li> <li>• Student employees are required to take compliance training as well.</li> <li>• It is important that email addresses in UT Share/PeopleSoft are accurate so employees receive their training notifications.</li> </ul>

<p>2. I am aware and all employees paid from my Cost Center(s)/Project ID(s)/Project ID(s) have been informed that ethical or legal concerns raised by employees or students should always be taken seriously and should be referred to the appropriate office at UTSA for handling.</p>	<p><a href="#">UTSA Standards of Conduct Training (review only)</a></p> <p><a href="#">HOP 4.01 - Code of Ethics</a></p> <p><a href="#">HOP 4.31 - Conflicts of Interest</a></p> <p><a href="#">HOP 1.33 – Conflict of Interest, Conflict of Commitment and Outside Activities</a></p>	<ul style="list-style-type: none"> <li>• Encourage employees to bring questions or observations of unethical activity to their supervisor. Supervisors should direct employees to the appropriate offices listed in the <a href="#">UTSA Standards of Conduct Training (review only)</a></li> <li>• Inform employees they can report suspected issues of non-compliance anonymously through the Compliance Hotline 1-877-270-5051 or via the web at <a href="https://www.reportlineweb.com/Welcome.aspx?Client=UTSA">https://www.reportlineweb.com/Welcome.aspx?Client=UTSA</a> More information about the Hotline is available on the <a href="#">Office of Institutional Compliance &amp; Risk Services</a> Website.</li> <li>• Ethical or legal concerns can be reported to the Chief Legal Officer (Legal Affairs) at 458-4105.</li> </ul>
<p>3. I am aware it is important to have measurable written goals and objectives for my area/department.</p>		<ul style="list-style-type: none"> <li>• Define department/area mission statement.</li> <li>• Develop long-term strategic goals.</li> <li>• Develop measurable annual goals based on your department’s mission and strategic goals.</li> <li>• Create an action plan to achieve annual goals.</li> <li>• Communicate goals and action plan to all employees.</li> <li>• Evaluate action plan and goals annually.</li> <li>• Provide new employees with an orientation regarding their duties and responsibilities. An <a href="#">On-the-Job Orientation Checklist</a> is available on the Human Resources Website.</li> </ul>
<p>4. I am aware that it is important to have written procedures for critical systems/processes in my area/department.</p>		<ul style="list-style-type: none"> <li>• Identify critical operations.</li> <li>• Develop written procedures and review and update them annually.</li> </ul>

FISCAL MANAGEMENT		
GENERAL		
<p>5. My area/department has a system for reviewing/reconciling Cost Centers/Project IDs on a monthly basis to determine whether the University’s accounting records match my area’s/department’s records. Procedures are in place to ensure appropriate action is taken in the event errors and/or unauthorized transactions are identified, and all Cost Center/Project ID reviews/reconciliations are dated and signed by the preparer and the reviewer.</p>	<p><a href="#">UT Systemwide Policy UTS142.1</a> - Policy on the Annual Financial Report</p> <p>Financial Management Operational Guideline (FMOG) – <a href="#">Monthly Financial Report Reconciliation Process</a></p> <p><a href="#">FMOG - Monitoring Plan for Segregation of Duties and Reconciliation of Accounts</a></p> <p><a href="#">FMOG - Procard Program</a></p> <p><a href="#">Training for Monthly Financial Report reconciliation</a> (see the Accounting section)</p>	<ul style="list-style-type: none"> <li>• Department Managers should have a working knowledge of their budgets (information can be viewed in UTShare/PeopleSoft).</li> <li>• Implement a departmental system for tracking and reviewing departmental expenditures and revenue. The type of system used may vary depending on the complexity of the department’s Cost Center(s)/Project ID(s). Review the training and other resources provided in the Accounting section of the <a href="#">Financial Affairs training website</a>, and also in Financial Management Operational Guideline (FMOG) - <a href="#">Monthly Financial Report Reconciliation Process</a>.</li> <li>• If possible, assign different individuals the responsibility for entering data into the departmental system and reconciling the departmental system to UTShare/PeopleSoft.</li> <li>• Check departmental reviews/reconciliations monthly and ensure all transactions are appropriate and there are no misstatements or omissions.</li> <li>• Ensure errors are corrected immediately.</li> </ul>

<p>6. My area/department is structured so that one person does not create, approve, and reconcile transactions. If I do not have the staff to adequately segregate these duties, I understand that as Department Manager I must take a more active role in monitoring my area/department's Cost Center(s)/Project ID(s).</p>	<p><a href="#">FMOG - Processing Cash Payments</a></p> <p><a href="#">FMOG - Monitoring Plan for Segregation of Duties and Reconciliation of Accounts</a></p> <p><a href="#">UT Systemwide Policy UTS142.1</a> - Policy on the Annual Financial Report</p>	<ul style="list-style-type: none"> <li>• Proper segregation of duties in a department ensures no single individual handles all aspects of a transaction or business process, thus reducing the possibility of undetected errors or fraudulent activity.</li> <li>• Ensure no single individual handles all phases of a transaction (e.g., creates, approves, and reconciles).</li> <li>• Proper segregation of duties is essential for reducing the risk of fraud in a cash operation. Having one person in charge of all phases of a cash operation is risky - there should be at least two sets of eyes on every transaction. Ideally you should ensure the individual responsible for record keeping (e.g., reconciling cash/checks received to cash register tapes, registration or other income records) is different from the person who has custody of the cash/checks (opens mail, prepares deposit, etc.). In small departments this can be a challenge; however, there are ways to compensate if you cannot fully segregate duties (e.g., have someone outside of the process analyze sales and deposits for reasonableness or monitor for unusual trends).</li> </ul>
<p>7. There is a process in my area/department for reconciling cash and check income records to deposit documentation.</p> <p>Note: Areas/departments accepting funds on behalf of UTSA must have an authorization request on file with the Office of Financial Services and University Bursar.</p>	<p><a href="#">FMOG - Processing Cash Payments</a></p> <p><a href="#">FMOG - Cash Handling and Management</a></p> <p><a href="#">Departmental Cash Handling Request Form</a></p>	<ul style="list-style-type: none"> <li>• A department that receives cash and/or checks should have a system in place for recording those receipts (e.g., cash register or log).</li> <li>• Cash register tapes or logs should be compared to actual deposits on a routine basis to ensure all income is being deposited.</li> <li>• Income trends should be analyzed to determine whether actual income matches expected income.</li> <li>• Ideally receipts should be pre-numbered and two-part. One copy should be provided to the payer while the other copy is kept on file so the funds can be verified independently by accounting for each sequentially numbered receipt. Receipts should be issued for all in-person transactions.</li> </ul>
<p>8. Cash/checks are adequately secured at all times, access is restricted to the extent possible and checks are immediately endorsed when received.</p> <p>Note: Areas/departments accepting funds on behalf of UTSA must have a security policy on file with the Office of Financial Services and University Bursar.</p>	<p><a href="#">FMOG - Cash Handling and Management</a></p> <p><a href="#">Departmental Cash Handling Security Policy</a></p>	<ul style="list-style-type: none"> <li>• As a minimum requirement, keep cash/checks locked in a drawer or a safe at all times.</li> <li>• Establish accountability for cash/checks by limiting access to the key or combination to as few individuals as possible.</li> </ul>
<p>9. Cash and checks received totaling \$500 or less are deposited with Fiscal Services once per week, and cash and checks received totaling over \$500 are deposited within one business day.</p>	<p><a href="#">UT Systemwide Policy UTS166</a> - Cash Management and Cash Handling Policy</p> <p><a href="#">FMOG - Cash Handling and Management</a></p> <p><a href="#">FMOG - Processing Cash</a></p>	<ul style="list-style-type: none"> <li>• Depositing cash and checks timely is key to reducing the risk of theft and should be a priority when organizing employees' duties.</li> </ul>

	<a href="#">Payments</a>	
10. Monthly phone charges are reviewed to ensure employees are not making personal long-distance calls on area/departmental phones and employees who do so are required to reimburse UTSA the full amount including taxes.		<ul style="list-style-type: none"> <li>• Inform staff that University phones should not be used for personal long-distance calls. If personal long distance charges are incurred, the University should be reimbursed in a timely manner.</li> <li>• Review monthly phone bills and question unusual charges.</li> <li>• Staff should review phone bills on a monthly basis and each staff member should attest that phone calls are business related.</li> <li>• Electronic phone bills should be saved to a folder (e.g., by month) on a common network drive that can be accessed by all employees.</li> <li>• Employees may attest by email; those emails should be saved to the folder on the common network drive.</li> </ul>

<b>PURCHASING</b>		
11. Procard purchases on my Cost Center(s)/Project ID(s) comply with UTSA requirements and restrictions for using the Procard.	<a href="#">FMOG - Procard Program</a>  <a href="#">PS 208.01 - Procard Processing Using UTShare/PeopleSoft</a>	<ul style="list-style-type: none"> <li>• Managers should have a working knowledge of Procard policies and procedures.</li> <li>• Managers should be aware of Procard limits and restrictions as described in FMOG - <a href="#">Procard Program</a> and should ensure cardholders are aware of these items as well.</li> <li>• Maintain a transaction log and retain adequate supporting documentation as required by FMOG - <a href="#">Procard Program</a> for all Procard purchases.</li> <li>• Suspected misuse of the Procard should be reported to the <a href="#">Procard/Travel Card Administration</a> (PTCA) office immediately.</li> <li>• Before approving a UTShare/PeopleSoft payment voucher for Procard purchases, review all transactions to ensure they are reasonable and appropriate for the purpose/mission of the department/unit. Unusual transactions should be questioned and investigated.</li> <li>• Ensure sales tax is not charged on Procard transactions.</li> <li>• Approve the payment document before the designated date.</li> <li>• Submit a completed <a href="#">Card Maintenance Request</a> to PTCA for requested changes to an existing Procard (e.g., limits, Account, card cancellation).</li> <li>• Establish and document the departmental Procard control environment and retain a copy with the Procard transaction logs. Documentation must be readily available for audits and reviews.</li> <li>• Contact the PTCA office by email at <a href="mailto:procard.travelcard@utsa.edu">procard.travelcard@utsa.edu</a> or by telephone at 458-7993 if you have questions or problems with the Procard.</li> </ul>
12. All employees who procure goods and services on my Cost Center(s)/Project ID(s) attend purchasing training prior to placing orders on the system.	<a href="#">Purchasing Office Website</a>	<ul style="list-style-type: none"> <li>• Department Managers should have a working knowledge of purchasing policies and procedures.</li> <li>• Employees are stewards of University funds; therefore, purchases must be business related and consistent with the department's mission.</li> <li>• If possible, to ensure proper segregation of duties, the person making purchases should not also reconcile the Monthly Financial Report.</li> <li>• Ensure that employees who perform purchasing duties attend initial purchasing training (followed by subsequent refresher courses) within</li> </ul>

		<p>30 days of starting employment. <a href="#">MyTraining</a> provides a number of training classes concerning purchasing procedures and the use of Procards. <a href="#">MyTraining</a> can be accessed online or by calling HR Training and Development at 458-4658.</p> <ul style="list-style-type: none"> <li>• Emphasize the importance of following purchasing regulations.</li> <li>• Ensure supporting documentation is filed and maintained in accordance with the UTSA Records Retention Schedule. <a href="http://www.utsa.edu/pds/records/forms/SLR105UTSA.pdf">http://www.utsa.edu/pds/records/forms/SLR105UTSA.pdf</a></li> <li>• Utilize the UTSA Procard for purchases under \$15,000 when possible (items purchased must comply with Procard regulations and restrictions).</li> <li>• Notify the <a href="#">Purchasing Office</a> immediately when discrepancies or problems occur with vendors or contractors.</li> <li>• Call the <a href="#">Purchasing Office</a> if you have questions.</li> </ul>
<p>13. There is a process in my area/department to ensure the Purchasing Office handles all purchases \$15,000 and over. I am aware and have informed all employees paid from my Cost Center(s)/Project ID(s) orders cannot be split to avoid these dollar requirements.</p>	<p><a href="#">Purchasing Office Website</a></p>	<ul style="list-style-type: none"> <li>• Maintain adequate supporting documentation for all purchases in the event of an audit or other requests for information.</li> <li>• Ensure employees who initiate and approve transactions are familiar with guidelines and restrictions for different Cost Center(s)/Project ID(s).</li> <li>• Expenditure transactions and related vouchers must be independently reviewed for completeness, accuracy, and compliance with University policies and in agreement with supporting documentation before being approved for payment.</li> <li>• Standardize specifications and requirements for commodities and services where possible.</li> </ul>
<p>14. When goods are delivered directly to my area/department receipts are immediately created in the receiving system to ensure goods are verified. I am aware of the receiving process and have informed all employees paid from my Cost Center(s)/Project ID(s) that the area/department could be subject to interest penalties when vendors are not paid within 30 days.</p>	<p><a href="#">Central Receiving Website</a></p>	<ul style="list-style-type: none"> <li>• Ensure employees who receive goods in your department are aware they should create receipts in the UT Share/PeopleSoft system immediately to ensure timely vendor payments. Departments may incur monetary penalties under the Prompt Payment Law if vendors are not paid within 30 days.</li> <li>• If goods delivered to a department are damaged or are not what was ordered, the supplier should be contacted immediately. <a href="#">Central Receiving</a> should be notified once the vendor has remedied the situation to your satisfaction so the vendor can be paid.</li> <li>• Ensure items are inspected and counted prior to signing and dating the receiving report/form from the vendor.</li> <li>• Departments should have a system for tracking outstanding purchase orders, e.g. an internal filing or accounting system.</li> </ul>
<p><b>HISTORICALLY UNDERUTILIZED BUSINESS (HUB)</b></p>		
<p>15. My area/department is committed to the University's goal of doing business with Historically Underutilized Businesses (HUBs) and I ensure HUBs are considered in the selection of vendors and contractors paid from my Cost Center(s)/Project ID(s).</p>	<p><a href="#">UTSA HUB Program Website</a>  <a href="#">UTSA Purchasing Office Website</a>  <a href="#">HOP 9.26 - Historically Underutilized Business Program</a></p>	<ul style="list-style-type: none"> <li>• Gain a working knowledge of UTSA's HUB Mission Statement.</li> <li>• Take steps to ensure HUB vendors are utilized whenever possible on purchases under \$15,000.</li> <li>• When applicable, utilize HUB information provided by the HUB Office or the Purchasing Office to make purchasing decisions.</li> <li>• Partner with the HUB Office to identify and invite HUBs to make presentations on future contracting opportunities.</li> <li>• HUB vendors can be found on the State of Texas Centralized Master</li> </ul>

		Bidders List (CMBL) maintained by the Texas Comptroller's Office <a href="http://www.window.state.tx.us/procurement/prog/cmbll/">http://www.window.state.tx.us/procurement/prog/cmbll/</a> or the UTSA HUB Office Website at <a href="http://utsa.edu/hub/">http://utsa.edu/hub/</a> .
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**BUSINESS CONTRACTS**

<p>16. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that only the President and person(s) with specific written delegation of authority from the President have authority to bind the University to a contract.</p>	<p><a href="#">Regent's Rules No: 10501</a></p> <p>UT Systemwide Policies: <a href="#">UTS145, Processing of Contracts</a></p> <p><a href="#">UTS126, Processing of Space Lease Agreements</a></p> <p><a href="#">UTSA Business Contracts Office Website</a></p>	<ul style="list-style-type: none"> <li>• Ensure contracts comply with applicable UTSA and UT System contracting policies and procedures, including the Board of Regents' Rules and Regulations related to contract delegation.</li> <li>• The Board of Regents' Rules and Regulations require that all contracts be approved by the President or his/her official, authorized delegate (ref. Series 10501, §§ 5 &amp; 6). Only an individual with a written delegation of authority from the President may execute and deliver contracts on behalf of the University. A University contract without an authorized signature may be invalid and unenforceable.</li> </ul> <p>Resources and offices for processing contracts are:</p> <ol style="list-style-type: none"> <li>1. <a href="#">Vice President for Business Affairs</a></li> <li>2. <a href="#">Business Contracts Office</a></li> </ol>
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**CAPITAL ASSETS MANAGEMENT**

<p>17. An annual inventory of University property is conducted on all inventory-tagged equipment listed under my Dept ID(s).</p>	<p><a href="#">HOP 8.02 - Property Accounting Responsibilities/Policy</a></p> <p><a href="#">FMOG Section 14: Capital Asset Property Accounting - Annual Physical Inventory</a></p>	<ul style="list-style-type: none"> <li>• The Inventory Contact Person (ICP) is a staff/faculty member responsible for daily oversight of the department's inventory and performs the Annual Physical Inventory.</li> <li>• Ensure the department designates a primary and alternate ICP and submit an <a href="#">ICP Appointment Form</a> at the beginning of each fiscal year to the Inventory Department. The ICP is required to attend mandatory inventory training annually.</li> <li>• The Inventory Department will determine what type of training is needed (initial or refresher) and contact the ICP to schedule the training needed to conduct the department's annual inventory.</li> <li>• Contact the <a href="#">UT Share Support and Sustainment Center (SPOC)</a> and ensure the ICP has access to inventory records for each Department ID that ICP is responsible for updating.</li> <li>• The ICP enters departmental data in UTShare/PeopleSoft for location and custodian changes.</li> <li>• Ensure your department's annual inventory is conducted and review the annual inventory documentation before completing the required annual certification.</li> <li>• Ensure a duplicate copy of all inventory documentation is kept on file in the department and used as a management tool in controlling inventory items during the year; these files may be subject to review during <a href="#">Departmental Audits</a>.</li> <li>• Although not required by policy, it is a good management practice to structure duties so the individual maintaining inventory records does not also perform the annual physical inventory (if staffing permits). In</li> </ul>
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<p>18. Proper inventory forms are prepared and maintained for all asset items under my Dept ID(s). In addition, during the annual inventory process, employees with inventory equipment listed under my Dept ID(s) are required to sign the Pre-Inventory/ Custody List, providing their Employee ID, for all items for which they are responsible for. Inventory records are updated to reflect the appropriate custodian.</p>	<p><a href="#">FMOG Section 14: Capital Assets Property Accounting - Inventory Forms and Pre-inventory/Custody List</a></p>	<ul style="list-style-type: none"> <li>• The ICP maintains the inventory paperwork for the department.</li> <li>• <a href="#">UTSA Inventory Forms</a> are available in all categories related to managing UTSA assets.</li> <li>• Ensure that UTSA (faculty/staff) employees sign the <a href="#">Pre-Inventory/Custody Listing</a> for all inventory-tagged departmental property which they are responsible for.</li> </ul>
<p>19. Equipment vulnerable to theft, loss, damage or misuse in my area/department is adequately safeguarded in locked cabinets and locked rooms.</p>	<p><a href="#">HOP 8.02 - Property Accounting Responsibilities</a></p> <p><a href="#">FMOG Section 14: Capital Asset Property Accounting-Roles and Responsibilities</a></p>	<ul style="list-style-type: none"> <li>• Emphasize to all employees the importance of vigilance to prevent loss of or damage to UTSA property and identify those responsible for such damage whenever it occurs.</li> <li>• Ensure <a href="#">Capital/Controlled Property</a> and other items vulnerable to theft (laptops, tablet computers, projectors, etc.) are in locked rooms or cabinets when not in use and limit the number of individuals who have keys/access.</li> </ul>
<p>20. In the event that equipment is stolen, missing or recovered, I and/or an employee in my area will notify the UTSA Police and the Inventory Department as required by University policy. In addition, I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that they may be held personally liable for lost/stolen equipment if:</p> <ul style="list-style-type: none"> <li>• Reasonable care was not exercised in the safekeeping, maintenance and service of the equipment; or</li> <li>• The loss occurred as a result of an intentional wrongful or negligent act.</li> </ul>	<p><a href="#">HOP 8.02 Property Accounting Responsibilities</a></p> <p><a href="#">UTSA Police Department/Administrative Support Section</a></p> <p><a href="#">FMOG Section 14: Administration and Management of Capital Assets &amp; Controlled Property – Stolen UTSA Property</a></p>	<ul style="list-style-type: none"> <li>• Ensure employees are familiar with rules regarding accountability for University property.</li> <li>• Contact the UTSA Police at 458-4242 and an officer will be assigned to investigate.</li> <li>• After contacting UTSA Police, contact the Inventory Department and complete and submit an official <a href="#">Stolen/Recovered Property Report</a> with a copy of the police report or a <a href="#">Missing Property/Reinstatement Report</a> with a dispatch report number.</li> </ul>
<p>21. All separating employees paid from my Cost Center(s)/Project ID(s) have returned all equipment assigned to them and have been cleared by my area's Inventory Contact Person before leaving the University.</p>	<p><a href="#">HOP 4.14 Separation of Employment for UTSA Personnel</a></p> <p><a href="#">FMOG Section 14: Administration and Management of Capital Assets &amp; Controlled Property - Human Resources Employee Separation Process</a></p>	<ul style="list-style-type: none"> <li>• Ensure separating employees are cleared by the designated ICP, and any property that is assigned to them in UTShare/PeopleSoft is reassigned to a new user before final clearance confirmation from the Inventory Department.</li> <li>• Ensure Faculty wishing to transfer equipment to their new university, do not remove any equipment from the university until the transfer request has been reviewed and final approved by the University' Property Manager; Non-State Transfers may be subject to restrictions and/or transferred with cost.</li> </ul>

<p>22. All equipment listed under my Dept ID(s) that is taken off-campus is returned to my area when no longer used for University business, and I ensure that my area maintains complete records for all University-owned equipment listed under my Dept ID(s) that is not on University premises.</p>	<p><a href="#">FMOG Section 14: Administration and Management of Capital Assets &amp; Controlled Property - Removing Equipment from UTSA Premises</a></p>	<ul style="list-style-type: none"> <li>• A <a href="#">Removal of Equipment Form</a> must have final approved, before any University property may be removed from University premises. This form requires the signatures of the authorized department manager. Special Note: Equipment leaving the country is cleared by Export Control, in advance of foreign travel.</li> <li>• Ensure equipment removed from university premises is used only for university business purposes.</li> <li>• ICPs are responsible for maintaining accurate logs and approved ROE forms for all Departmental equipment which is removed from UTSA premises, and ensuring forms are renewed annually.</li> </ul>
<p>23. Capital/controlled (restricted commodities) equipment were not purchased with the UTSA Procard or with personal credit cards and subsequently reimbursed, without prior approval.</p>	<p><a href="#">Financial Affairs Operational Guidelines – FMOG Section 7: Non-Payroll Disbursements - Procard Program Limits and Restrictions</a></p>	<ul style="list-style-type: none"> <li>• Ensure cardholders are familiar with purchase restrictions in place which do not allow for the purchase of capital and controlled equipment items on a pro-card, or personal credit card reimbursements for capital and controlled equipment items.</li> </ul>
<p>24. University property which is surplus to the needs of my department must be transferred to the University's Surplus Property Department.</p>	<p><a href="#">HOP 8.02 - Property Accounting Responsibilities</a></p> <p><a href="#">Financial Affairs Operational Guidelines – FMOG Section 14: Property and Equipment Management - Surplus Property</a></p>	<ul style="list-style-type: none"> <li>• Ensure employees do not dispose of university property by any means, other than a transfer to the Surplus Property Department for further handling.</li> <li>• Ensure employees do not cannibalize university personal property and equipment without prior approval of the Surplus Property Department.</li> <li>• Ensure employees to not store surplus, obsolete, broken, or damaged equipment in building fire lanes and/or egress/ingress areas.</li> <li>• Ensure employees contact EHSRM, prior to transferring equipment to the Surplus Property Department, when the equipment has been housed in a research lab (exceptions are made when research is computational).</li> </ul>
<p>25. Ensure property acquired (through purchase, transfer, or gift) is used for approved University purposes, assigned to employees who are aware of their responsibilities, and who are sufficiently and appropriately trained on the use of the equipment.</p>	<p><a href="#">HOP 8.02 - Property Accounting Responsibilities/Policy</a></p> <p><a href="#">FMOG Section 14: Capital Asset Property Accounting- Roles and Responsibilities</a></p>	<ul style="list-style-type: none"> <li>• Ensure reasonable care and safety of the equipment, and equipment is kept in good working condition.</li> <li>• Ensure the ICP is kept informed on all equipment changes including location changes, user changes, upgrades, trade-ins, enhancements, etc.</li> <li>• Ensure planned equipment warranty returns are coordinated with the ICP and the Inventory Team, prior to returning an item to the vendor.</li> <li>• Ensure the Inventory Team is notified, in advance, when equipment is being transferred to UTSA from another state university, or an external agency/university.</li> </ul>
<p><b>GIFTS</b></p>		



<p>25. All gifts to the University shall be deposited within 24 hours of receipt with the gift services unit of the Office of External Relations. All campus units are to deliver cash/checks/credit card gifts and other cash equivalents along with a completed Gift Processing Form and all related documentation from the donor to the Office of Advancement Services. When the gift is deposited, the donors will receive a tax receipt and an acknowledgment letter thanking them for his/her gift from our donor relations/development officer. In-Kind gifts are processed using the Gift In-kind Acceptance form which is processed through the respective Dean's office and delivered to Office of Advancement Services for completion. Receipts and acknowledgement letters are issued in conjunction with the formal acceptance of in-kind gifts.</p> <p>Note: For UTSA purposes, "gifts" are described as "a contribution of cash or gift-in-kind in which the donor voluntarily gives us all control of the asset to the University for its benefit."</p>	<p><a href="#">Regent's Rules No: 60101</a></p> <p><a href="#">HOP 9.23 - Procedures Governing Private Gift Solicitation</a></p> <p><a href="#">UTSA Office of External Relations</a></p>	<ul style="list-style-type: none"> <li>• Review information on UTSA's <a href="#">Office of External Relations</a> Website.</li> <li>• Department Managers should have a working knowledge of gift policies in the HOP and Regents' Rules (see web links provided)</li> <li>• Ensure designated employees know where to find and how to fill out the Gift Processing Form and the Gift In-Kind Acceptance Form.</li> <li>• Ensure employees know contact information for the Unit/College Development Officer (if applicable) or the <a href="#">Office of External Relations</a>.</li> <li>• Procedures for receiving gift checks should be followed in the same manner as any cash and/or check transaction, e.g. segregation of duties, log, etc.</li> <li>• Use the Gift Transmittal List Form to record gifts delivered to the Office of Operations and Advancement Services; this is the delivery receipt vehicle.</li> </ul>
<p>26. There is a process in my area/department to ensure each donor receives a tax receipt. Office of External Relations then issues an acknowledgment letter thanking the donor.</p>		<ul style="list-style-type: none"> <li>• The Department Manager and the Director of Endowment Compliance and Gift Services work together to manage gift Cost Center(s)/Project ID(s) and reconcile data with UTSA Fiscal Services.</li> <li>• There are written procedures on managing gift Cost Center(s)/Project ID(s).</li> <li>• Files are kept current, organized and easily identifiable in electronic Form. Copies of gift documentation are scanned and confidential information is redacted. Access to this information is restricted and not readily accessible to non-departmental staff.</li> <li>• Files contain copies of the Gift Processing Form, any correspondence from the donor, check, and department chair/director's acknowledgment letter. (All original documentation is forwarded to the Office of External Relations.) All credit card or bank account numbers are removed or hidden on retained paperwork.</li> </ul>
<p>27. There is a process in my area/department to keep track of all gift Cost Center(s)/Project ID(s) for which we are responsible and ensure that current files are maintained.</p>		<ul style="list-style-type: none"> <li>• See above #24.</li> </ul>

<p>28. All gift Cost Center(s)/Project ID(s) for which I am responsible are maintained with current information and all expenditures from these Cost Center(s)/Project ID(s) are in accordance with the donor's wishes. Cost Center(s)/Project ID(s) managed by other units are periodically monitored for compliant expenditures.</p>	<p><a href="#">Regent's Rules Series No: 60101</a></p>	<ul style="list-style-type: none"> <li>• Designate an employee to manage gift Cost Center(s)/Project ID(s).</li> <li>• Document policies/procedures for expenditures including donor's intentions for each gift Cost Center(s)/Project ID(s).</li> <li>• Ensure employees know policies and procedures regarding appropriate expenditures.</li> <li>• Prior to approving expenditures from gift Cost Center(s)/Project ID(s), ensure the expenditure is in compliance with the donor's intentions.</li> </ul>
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**HUMAN RESOURCES**

<p>29. I complete and document annual performance evaluations for all employees reporting directly to me and I have a process in place to ensure annual performance evaluations are performed for all other employees who are paid from my Cost Center(s)/Project ID(s).</p>	<p><a href="#">HOP 3.01 - Annual Non-Faculty Performance Evaluation Program</a></p> <p><a href="#">HOP 2.11 – Annual Faculty Performance Appraisal for Merit Consideration</a></p> <p><a href="#">UTSA Human Resources Standard Evaluation Forms</a></p> <p><a href="http://www.utsa.edu/hr/forms.html">http://www.utsa.edu/hr/forms.html</a></p>	<ul style="list-style-type: none"> <li>• Every supervisor is expected to conduct an annual performance evaluation for all regular Classified and Administrative and Professional employees that report to them. <a href="#">Standard Evaluation Forms</a> are available on the Human Resources Website.</li> <li>• Evaluations should be completed no later than the first work day in March of each year covering the period Feb 1<sup>st</sup> of the previous year through Jan 31<sup>st</sup> of the current year.</li> <li>• Place the original evaluation form in the employee's departmental personnel file and provide a copy to the employee and a copy to the Human Resources Department.</li> <li>• Ensure probationary employees are evaluated during the first six months of employment. A probationary evaluation should be conducted on the 30th, 90th, and 160th day of employment. Results of these evaluations should be the basis for retention or release of the employee. <a href="#">Probationary Evaluation Forms</a> are available on the Human Resources Website.</li> <li>• Develop performance standards for all positions (you may consult with your employees when developing standards for the position).</li> <li>• Communicate the standards for the position to the employee upon hire and at the onset of the evaluation period.</li> <li>• When evaluating an employee, consider the employee's performance in</li> </ul>
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		the position in relation to the standards previously set by the supervisor.
30. My area has a process in place to record and track hours worked by hourly employees paid from my Cost Center(s)/Project ID(s), including ensuring overtime and other non-work hours are appropriate and approved in advance by a supervisor.	<a href="#">Payroll Office Website</a> <a href="#">Payroll Forms</a> <a href="#">Payroll Calendar (Monthly)</a> <a href="#">Payroll Calendar (Semi-Monthly)</a>	<ul style="list-style-type: none"> <li>• Time sheets/cards should be used to record hours worked for hourly employees and are available on the Payroll Website: <a href="#">hourly employee time card</a>.</li> <li>• Time sheets/cards should be signed and dated by the employee and supervisor and kept on file in the department.</li> <li>• Hourly employees are generally paid on a semi-monthly basis. Ensure that the electronic payroll voucher is created and approved by the payroll deadline on the <a href="#">payroll calendar (month or Semi-Monthly)</a>.</li> </ul>
31. There is a process in my area/department to ensure overtime and other non-standard work hours are appropriate and approved in advance by a supervisor.	<a href="#">HOP 4.12 - Overtime for Non-Exempt Employees</a>	<ul style="list-style-type: none"> <li>• Whenever possible, notify employees in advance when business demands require they work non-standard or overtime hours.</li> <li>• Develop a departmental procedure for requests to work additional or nonstandard hours (explanation for supervisor, supervisor's approval, etc.) and maintain copies of documentation.</li> </ul>
32. My area has a process to manage employee leave for employees paid from my Cost Center(s)/Project ID(s) that achieves the following: <ul style="list-style-type: none"> <li>• Employee workdays are monitored and leave balances are routinely reviewed by someone in their management chain.</li> <li>• Vacation, sick leave and compensatory time balances are reconciled and entered to UT Share/PeopleSoft on a weekly basis.</li> <li>• Leave balances (vacation, sick and compensatory) are available online to employees via the Employee Self Service (ESS) module.</li> </ul>		<ul style="list-style-type: none"> <li>• Ensure the department keeps copies of appropriate documentation/records.</li> <li>• Employees are encouraged to review their leave balances in Employee Self Service for accuracy.</li> </ul>
33. All qualified job applicants are considered and HR guidelines for determining the best-qualified applicant are followed when hiring employees paid from my Cost Center(s)/Project ID(s).	<a href="#">HR Recruitment Guidelines</a> <a href="#">HOP 9.21 - Records and Information Management and Retention</a>	<ul style="list-style-type: none"> <li>• A set of job related interview questions should be prepared in advance of the interviews.</li> <li>• Interview questions should be designed to permit a fair and objective evaluation of each applicant and consist of objective, job-related inquiries.</li> <li>• Each applicant should be asked the same questions; all responses should be recorded in writing. A list of acceptable questions can be found at: <a href="#">Sample Interview Questions</a>.</li> <li>• To facilitate the hiring decision, a matrix should be used.</li> <li>• Use the applicant screening matrix to screen applicants for interviews: <a href="#">Applicant Screening Matrix</a>.</li> <li>• Use the interview matrix to assist in selection of a "finalist" from the interview process: <a href="#">Applicant Screening Matrix</a></li> <li>• The matrix, questions and responses should be maintained by the</li> </ul>

department for a minimum of two years.

## EEO COMPLIANCE

34. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that sexual misconduct, sexual harassment and intimate partner violence (domestic violence, dating violence, and stalking) in any form will not be tolerated, the offending employee may be subject to disciplinary action, and that all incidents are to be reported to Equal Opportunity Services immediately.

[HOP 9.01- Nondiscrimination](#)  
[HOP 9.24 – Sexual Harassment and Sexual Misconduct](#)  
[UTSA Office of Equal Opportunity Services Website](#)

- Recognize sexual harassment includes conduct that interferes with an individual's work performance or creates an intimidating, hostile or offensive work environment. Sexual harassment may include telling sexually explicit jokes, making inappropriate comments, or sending e-mails to one another containing jokes of a sexual nature.
- Offensive behavior and comments in the workplace can constitute a hostile work environment, even if other people deem such conduct harmless, insignificant or they take no offense to it.
- A workplace can easily develop into a culture that tolerates inappropriate behavior and comments if it is not addressed. This creates the potential to: negatively impact employees and the work environment, fall below acceptable standards for professional conduct and create a sense of discomfort that results in behavior that violates university policy.
- Set expectations, communicate them to your employees, and remind employees about the sexual harassment policy and procedures.
- Ensure employees know where in the HOP they can find the policies on [Nondiscrimination and sexual harassment and sexual misconduct \(HOP 9.01 and 9.24\)](#).
- Ensure you comply with the sexual harassment policies and procedures by not initiating inappropriate actions, participating in inappropriate discussions, or condoning such actions or discussions by choosing to remain silent.
- Ensure employees know the requirements for reporting acts of sexual harassment and sexual violence and relationship violence reported to them by students in accordance with Title IX of the Education Amendments of 1972 and the Campus SaVE Act.
- Ensure all responsible employees and employees with heightened obligations for reporting sexual harassment, sexual violence and relationship violence receive Title IX and Campus SaVE training.

35. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that various forms of discrimination, including discrimination based upon any protected category, including sexual orientation, is prohibited by state and federal laws and/or by University policy, and that all incidents are to be reported to Equal Opportunity Services immediately.

[HOP 9.01- Nondiscrimination](#)  
[HOP 9.24 – Sexual Harassment and Sexual Misconduct](#)  
[UTSA Office of Equal Opportunity Services Website](#)  
[United States Equal Employment Opportunity Commission](#)

- Recognize your role and responsibilities as a manager in taking action to prevent discrimination, including:
  - Examining your own behavior and making sure you lead by example.
  - Identifying early signs of unprofessional behavior that may require preventive measures.
  - Identifying specific behaviors requiring proactive measures or immediate intervention.
- UTSA prohibits discrimination in all areas of employment, including recruitment, hiring, training, assignments, promotion, discipline and termination.
- Employment discrimination occurs if it is based on race, color, religion, sex, national origin, age, disability, veteran status, or sexual orientation, gender identity and gender expression.

		<ul style="list-style-type: none"> <li>○ Treating one employee differently than another who is similarly situated.</li> <li>○ Any employment practice no matter what the intent, if it has a disparate impact on any employee including members of a protected class, which includes women, minorities, individuals with disabilities, veterans, persons over 40 years old and Lesbian, Gay, Bisexual, Transgender and Queer/Questioning.</li> </ul>
36. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed to refer individuals reporting incidents of sexual harassment and/or discrimination to contact the Office of Equal Opportunity Services immediately.	<a href="#">HOP 9.01- Nondiscrimination</a>  <a href="#">HOP 9.24 – Sexual Harassment and Sexual Misconduct</a>  <a href="#">HOP 9.04 - Consensual Relationships</a>  <a href="#">UTSA Office of Equal Opportunity Services Website</a>	<ul style="list-style-type: none"> <li>• The Office of Equal Opportunity Services investigates complaints of discrimination and harassment for students, faculty, staff and visitors/guests of the University.</li> </ul>
37. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that all complaints of sexual harassment and/or discrimination should be filed as soon as possible after the conduct giving rise to the complaint.	<a href="#">HOP 9.01- Nondiscrimination</a>  <a href="#">HOP 9.24 – Sexual Harassment and Sexual Misconduct</a>  <a href="#">HOP 9.04 - Consensual Relationships</a>  <a href="#">Office of Equal Opportunity Services Website</a>	<ul style="list-style-type: none"> <li>• As a University official, report incidences and/or complaints to the Office of Equal Opportunity Services (EOS) immediately.</li> <li>• Review information on the EOS Website and encourage employees to review the site and make note of the contact names and numbers.</li> <li>• Reports of incidents of discrimination and harassment beyond the 30-day deadline should still be reported to EOS in order to determine the possible recurrence of past conduct.</li> </ul>
38. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that it is unlawful to retaliate against an employee who has reported an allegation of wrongdoing or is participating in an investigation pertaining to allegations of wrongdoing.	<a href="#">Whistleblower Policy</a>  <a href="#">UTSA Office of Equal Opportunity Services Website</a>	<ul style="list-style-type: none"> <li>• UTSA is committed to an environment which prohibits retaliation for engaging in protected activities such as reporting or filing an EOS complaint of discrimination or harassment.</li> <li>• Encourage employees to report allegations of discrimination and harassment.</li> <li>• Prohibit unlawful retaliation against employees for reporting and/or participation in an investigation pertaining to discrimination and harassment.</li> </ul>

ENVIRONMENTAL HEALTH, SAFETY AND RISK MANAGEMENT		
39. There is a process in my area/department to ensure departmental activities comply with applicable rules, regulations, and best practices relating to occupational health, safety and the environment to include: <ul style="list-style-type: none"> <li>• Use and disposal of hazardous chemicals, radioisotopes, biological agents and other</li> </ul>	<a href="#">UTSA Office of Environmental Health, Safety and Risk Management Website</a>  <a href="#">HOP 9.05 - Occupational Safety and Health Policy</a>	<ul style="list-style-type: none"> <li>• Inform your staff that policies and safety manuals governing health and safety are referenced on the <a href="#">Office of Environmental Health, Safety and Risk Management (EHSRM) website</a>.</li> <li>• Where applicable in research and clinical settings, also inform your staff that certain types of equipment such as class 3b or 4 lasers, x-ray producing machines and scintillation counters with radioactive sources require registration with the Texas Department of State Health Services and may require institutional safety committee approval prior to use.</li> </ul>

<p>regulated waste materials in areas where applicable such as labs, Facilities shops and art studios;</p> <ul style="list-style-type: none"> <li>• Proper preventative measures for maintaining equipment and facilities in a safe working order for all employees, students and visitors; and</li> <li>• Keeping my work area in compliance with NFPA 101 - Life Safety Code by keeping exit pathways clear, not using electrical extension cords, not obstructing access to fire alarms or extinguishers, and keeping at least 18 inches of clearance between storage or installed equipment and the ceiling or wall mounted fire sprinklers.</li> </ul>	<p><a href="#">HOP 9.06 - Procedures for Compliance with the Texas Hazard Communication Act</a></p> <p><a href="#">HOP 9.25 - Hazardous Waste Management Program</a></p>	<ul style="list-style-type: none"> <li>• The NFPA 101 Life Safety Code is enforced by the Texas State Fire Marshal who is the Authority Having Jurisdiction (AHJ) for fire and life safety at all state owned buildings and property. UTSA EHSRM is designated as the local AHJ / Fire Marshal for UTSA buildings and property.</li> <li>• Contact the EHSRM Office at 458-5250 for more information, concerns or questions and you will be directed to appropriate divisional personnel regarding lab safety, hazardous waste disposal or fire safety.</li> </ul>
<p>40. There is a process in my area/department to ensure department staff attend applicable safety training courses mandated by the UTSA Environmental Health, Safety, and Risk Management Office, State of Texas and federal regulations to include:</p> <ul style="list-style-type: none"> <li>• Texas Hazard Communication Act, Radiation Control Program, Radioactive Material License and TX Blood Borne Pathogen Rule; and</li> <li>• Texas Commission on Environmental Quality (TCEQ) and Federal EPA/OSHA regulations governing hazardous waste operations.</li> </ul>	<p><a href="#">UTSA Office of Environmental Health, Safety and Risk Management Website</a></p> <p><a href="#">UTSA Human Resources Training and Development</a></p>	<ul style="list-style-type: none"> <li>• Ensure research, clinical, emergency response, Facilities and Art studio employees attend appropriate hazard communication safety training prior to working with hazardous chemicals, paints, glazes, or toxins.</li> <li>• Ensure research employees attend radiation and laser safety training prior to working in areas with radioactive materials or class 3b or 4 lasers.</li> <li>• Ensure research, clinical, emergency response and Facilities employees who may be exposed to human or non-human primate blood, cells, tissues and body fluids attend initial bloodborne pathogens training, are offered the HBV Vaccine, and the annual refresher training.</li> <li>• Ensure research and clinical employees working with biological agents or recombinant DNA in laboratories attend the appropriate bio safety and laboratory safety training.</li> <li>• Ensure research, clinical, Facilities and Art studio employees generating hazardous biological, chemical or radioactive material waste attend Hazardous Waste Generator's Safety Training.</li> <li>• Training is mandated by the following rules and regulations: Texas Department of State Health Services (DSHS) in the Texas Hazard Communication Act, TDSHS Radiation Control Program - Radioactive Material License for UTSA and TX Bloodborne Pathogen Rule; and federal CDC/USDA Select Agent Rules and TCEQ /EPA / OSHA regulations governing hazardous waste operations.</li> <li>• Contact EHSRM at 458-5250 with any questions regarding this training.</li> </ul>

<p>41. I am aware and employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that it is important to be responsive to any safety, health or environmental concerns raised by faculty, staff or students and to report all employee accidents, injuries and exposures to hazardous agents to Environmental, Health, Safety and Risk Management (EHSRM), regardless of whether they were formally reported by the employee. In addition, there is a process in my area to maintain contact with employees who have lost time due to injuries and encourage them to return to work within the scope of restrictions placed upon them by authorized treating physicians.</p>	<p><a href="#">HOP 9.05 - Occupational Safety and Health Policy</a></p> <p><a href="#">HOP 9.06 - Procedures for Compliance with the Texas Hazard Communication Act</a></p> <p><a href="#">HOP 9.25 - Hazardous Waste Management Program</a>  <a href="#">UTSA Office of Environmental Health, Safety and Risk Management Website</a></p>	<ul style="list-style-type: none"> <li>• Contact EHSRM at 458-5250 if there are any concerns or questions regarding reporting a work related injury, exposure, or illness and you will be directed to the appropriate individual to assist you.</li> <li>• You can also refer to the <a href="#">EHSRM website</a> for specific contact persons, information and forms for reporting injuries or exposures, and the UTSA Return to Work Program.</li> <li>• Dial “911” or 4911 on campus phone for emergencies.</li> <li>• Off campus and on cellular phones dial 458-4911 to contact the UTSA Police Department in an emergency (non-emergency number is 458- 4242).</li> <li>• The UTSA Police maintain emergency information for EHSRM personnel to respond to accidents, fires, hazardous material spills and other emergencies as necessary</li> </ul>
<p>42. There is a process in my area/department to ensure employees who may be exposed to hazardous materials or environmental conditions in the normal course of their duties are evaluated and trained for working with these exposure risks. Where these hazards exist, they are mitigated through a combination of environmental controls, personal protective equipment, or approved vaccinations in consultation with a licensed healthcare professional.</p>	<p><a href="#">UTSA Office of Environmental Health, Safety and Risk Management Website</a></p> <p><a href="#">HOP 2.44 - Minors in Laboratories or Similar Facilities</a></p>	<ul style="list-style-type: none"> <li>• Ensure employees exposed to potentially hazardous levels of noise, particulate dust, hazardous chemicals, ionizing radiation, infectious biological agents, or work with research animals are enrolled in the UTSA Occupational Health Program (OHP) and evaluated for respiratory protection, vaccination status, and/or hearing conservation</li> <li>• Minors who may work in laboratories during summer camps or during other sponsored activities pose a special risk. Refer to HOP 2.44 - Minors in Laboratories or Similar Facilities for the process to approve minors working in laboratory areas.</li> <li>• Contact the Occupational Health Coordinator, RN at 458-5304 for more information and questions about enrollment in the OHP.</li> <li>• Contact the Occupational Health &amp; Wellness Manager at 458-6102 for more information and questions about job hazard assessments or ergonomic evaluations in the workplace.</li> </ul>
<p>43. There is a process in my department to review and risk assess specialized equipment deemed critical to departmental or University operations, and determine if it has been adequately insured against complete loss.</p>	<p><a href="#">UTSA Office of Environmental Health, Safety and Risk Management Website</a></p>	<ul style="list-style-type: none"> <li>• Most equipment falls under UTSA’s general Comprehensive Property Protection Plan insurance coverage which has a \$250,000 deductible. All claims over \$25,000 must be reported to UT System Office of Risk Management (UT-ORM) and should be routed through UTSA’s Risk &amp; Life Safety Manager.</li> <li>• UT-ORM offers low cost, low deductible insurance coverage for equipment valued under \$250,000 or to help with covering the first \$250,000 of value. Contact the UTSA Risk &amp; Life Safety Manager at 458-4420 to assist with the equipment risk assessment and to obtain insurance coverage.</li> </ul>

<p>44. I am aware and employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that emergencies, crimes, illegal activity, suspicious packages and dangerous or potentially harmful events should be reported to the UTSA Police Department immediately.</p>	<p><a href="#">UTSA Police</a></p> <p><a href="#">UTSA Business Continuity and Emergency Management Office</a></p>	<ul style="list-style-type: none"> <li>• Dial “911” on any campus phone to reach the University Police.</li> <li>• Ensure a list of essential phone numbers and contact persons is available and can be easily accessed by all employees.</li> <li>• All employees should know that University Police is located at BOS 1.100.</li> <li>• Information regarding reporting crimes and hazards can be found on the <a href="#">UTSA Police Website</a>.</li> </ul>
<p>45. I am aware and employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed to contact UTSA Police if illegal activity is suspected.</p>	<p><a href="#">UTSA Police</a></p>	<ul style="list-style-type: none"> <li>• Dial “911” on any campus phone to reach the University Police.</li> <li>• Ensure a list of essential phone numbers and contact persons is available and can be easily accessed by all employees.</li> <li>• Information regarding reporting crimes and hazards can be found on the <a href="#">UTSA Police Website</a>.</li> <li>• All employees should know that UTSA Police is located at BOS 1.100.</li> </ul>

**KEY AND CARD ACCESS**

<p>46. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that lost or stolen keys or access ID cards should be reported to be reported to the UTSA Police and Access Services immediately.</p>	<p><a href="#">HOP 8.04 - Keys to University Facilities</a></p>	<ul style="list-style-type: none"> <li>• Managers should be aware of the policies regarding <a href="#">keys and access to university facilities</a>.</li> <li>• Managers should ensure their employees know and adhere to University policy on keys and access to University facilities.</li> </ul>
<p>47. Only the appropriate administrative head of an academic or administrative department is allowed to request keys being assigned to employees. There is a process in my area/department to ensure that keys or access ID cards for new employees are obtained by sending the employee’s information to the Access Services Office.</p>	<p><a href="#">UTSA Security Services Information</a></p>	<ul style="list-style-type: none"> <li>• All employees should know the Security Services Department is located at BOS 1.200, can be contacted at 458-6855 or Emailed at <a href="mailto:security.services@utsa.edu">security.services@utsa.edu</a>.</li> <li>• The Access Request Authorization form is available on the <a href="#">Security Services</a> section of the UTSA Police Website.</li> </ul>

**EMERGENCY PREPAREDNESS**

<p>48. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) are aware of emergency evacuation procedures.</p>	<p><a href="#">UTSA Community Emergency Response Guide</a></p>	<ul style="list-style-type: none"> <li>• Managers should ensure their employees are familiar <a href="#">UTSA Emergency Response Guide</a>.</li> <li>• Ensure a list of essential phone numbers and contact persons is available and can be easily accessed by all employees.</li> <li>• Know your building floor captains. Managers can obtain the name and contact number of the appropriate Floor Captain Safety Liaisons in their building by emailing the UTSA Office of Emergency Management at <a href="mailto:BePrepared@utsa.edu">BePrepared@utsa.edu</a> or by calling 458-6851.</li> </ul>
<p>49. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed of emergency evacuation procedures and that all employees are required to participate in all evacuation drills.</p>	<p><a href="#">UTSA Community Emergency Response Guide</a> (located near the entrance of most classrooms and/or meeting room)</p>	<ul style="list-style-type: none"> <li>• Communicate to employees that all evacuation drills should be taken seriously.</li> <li>• Have a plan for helping employees who need additional assistance in an evacuation.</li> </ul>



<p>50. I know who my Floor Captain Safety Liaisons are and have informed my area/department staff they should refer to the <a href="#">Business Continuity and Emergency Management Website</a> for information regarding Floor Captain Safety Liaisons.</p>	<p><a href="#">UTSA Community Emergency Response Guide</a></p> <p>Training: See the Safety Section of the Training &amp; Development Class Schedule.</p>	<ul style="list-style-type: none"> <li>Know your Floor Captain Safety Liaisons. Managers can obtain the name and contact number of the appropriate Floor Captain Safety Liaisons in their building by emailing the UTSA Office of Emergency Management at <a href="mailto:BePrepared@utsa.edu">BePrepared@utsa.edu</a> or by calling 458-6851. You are encouraged to participate in the Floor Captain Safety Liaison program.</li> </ul>
<p>51. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed that suspicious packages or devices should be immediately reported the UTSA Police.</p>	<p><a href="#">FBI Advisory on Suspicious Packages</a></p> <p><a href="#">UTSA Office of Emergency Management</a></p>	<ul style="list-style-type: none"> <li>Review with employees the <a href="#">FBI Advisory on Suspicious Packages</a>.</li> </ul>

INFORMATION SECURITY		
<p>52. All users of UTSA information resources in my area are aware of and comply with the requirements of the UTSA <a href="#">Passphrase and Password Standard</a>, which include selecting a strong passphrase, never disclosing, writing down or sharing account passphrases and enabling a passphrase-protected screen saver (or logging off) when computing devices are left unattended.</p>	<p><a href="#">HOP 8.15 – Acceptable Use Policy</a></p> <p><a href="#">UTSA Passphrase and Passwords Standard</a></p>	<ul style="list-style-type: none"> <li>When assigning work or computers to your employees, ensure that each user has a separate computer account.</li> </ul>
<p>53. I am aware and have informed my area/department staff that all computers should have screensavers with passphrase protection activated.</p>	<p><a href="#">HOP 8.15 – Acceptable Use Policy</a></p>	<ul style="list-style-type: none"> <li>When users leave their computers unattended, passphrase protected screensavers reduce the risk of access by an unauthorized user.</li> </ul>
<p>54. All users of UTSA information resources in my area are aware of and comply with the <a href="#">Software Licensing Standard</a> requirements, including installing only properly licensed software on UTSA hardware, duplicating software only when legally permitted by the software license, and ensuring copyrighted materials (music, movies, intellectual property, etc.) are not downloaded, stored or shared via UTSA systems or networks unless expressly permitted by the copyright owner in accordance with Federal copyright laws.</p>	<p><a href="#">HOP 9.11 - Reproduction of Copyright Materials</a></p> <p><a href="#">UTSA Software Licensing Standard</a></p> <p><a href="#">UTSA Unauthorized File Sharing Standard</a></p> <p><a href="#">HOP 8.15 – Acceptable Use Policy</a></p>	<ul style="list-style-type: none"> <li>State-owned computer equipment, including personal computers/servers and the UTSA network, may not be used to download or share copyrighted files.</li> <li>In some cases, companies may permit the purchaser of a CD/DVD to make a single backup copy or may allow transferring of music files to a portable device.</li> <li>If software is to be used in your office, check with the Office of Information Technology (OIT) or the Office to ascertain the licensing status, before purchasing or duplicating the software.</li> <li>Managers should ensure that their departments are in compliance with licensing rules for the various types of software used in their departments.</li> </ul>
<p>55. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed to report information security incidents to the OIT Security Team.</p>	<p><a href="#">HOP 8.17 - Information Security Incident Response</a></p> <p><a href="#">UTSA Incident Response Standard</a></p>	<ul style="list-style-type: none"> <li>An incident is the use of a computer to violate statutes or regulations; such misuse frequently results in disciplinary action. Be familiar with the Information Security standards and be sure that any irregular use of computing is reported.</li> <li>Incidents should be reported to 458-5555.</li> </ul>
<p>56. I am aware and all employees paid from my Cost Center(s)/Project ID(s) (as applicable) have been informed to follow UTSA procedures, including calling OIT Support Services, when installing new computers or hooking up servers.</p>	<p><a href="#">UTSA Network Access Standard</a></p> <p><a href="#">UTSA Change Management Standard</a></p>	<ul style="list-style-type: none"> <li>Always check IT procedures before connecting to the network or installing new hardware. Follow the standard, check with OIT Connect and contact the OIT Security Team if you have specific questions.</li> <li>In order to protect the integrity of the University's network, devices which have been connected without prior approval may be removed or otherwise be prevented from connecting to the network.</li> </ul>
<p>57. All data stored in my area (paper-based and electronic, including email) has been evaluated to ensure it has a legitimate business purpose</p>	<p><a href="#">HOP 9.21 - Records and Information Management and Retention</a></p>	<ul style="list-style-type: none"> <li>Ensure information is removed or destroyed in accordance with the <a href="#">Retention Schedule</a>.</li> </ul>

<p>and is retained in accordance with policy requirements. It is critical that records be destroyed when the retention requirement has been met.</p>	<p><a href="#">UTSA Data Classification Standard</a></p>	
<p>58. A review of all computers and/or servers in my area has been performed to determine whether Confidential (Category I data per the <a href="#">Data Classification Standard</a>) is being stored electronically and the data is physically and technically safeguarded to allow access only to those employees who need the information to perform their job responsibilities.</p> <p>Note: Category I data includes: Student records, litigation, law enforcement data, Social Security Numbers, Credit Cards, health related research, reports marked confidential, passphrases.</p>	<p><a href="#">UTSA Data Classification Standard</a></p> <p><a href="#">UTS 165 (UT System Information Resources Use and Security Policy)</a></p> <p><a href="#">HOP 4.01 - Code of Ethics</a></p> <p><a href="#">UTSA Secure Passphrase</a></p>	<ul style="list-style-type: none"> <li>• Do not share passphrase(s).</li> <li>• Lock up confidential information and restrict access.</li> <li>• Identify those within your office or department who might use confidential information and be sure they have been trained in the rules regarding privacy.</li> <li>• Be sure that backup tapes and computers with confidential information are not available to those who are not approved to handle such records.</li> <li>• Do not transmit personally identifiable information via e-mail or through other electronic means.</li> <li>• Category 1 data should only be stored on the I – Drive.</li> <li>• The UTSA Information Security Officer is Kevin Kjosa.</li> </ul>
<p>59. All laptops must be encrypted. Also desktops purchased after September 1, 2013 or store Category 1 data must be encrypted.</p>	<p><a href="#">Standard for Data Encryption and Instructions for Encryption</a></p>	<ul style="list-style-type: none"> <li>• All category 1 data will be stored on a network storage drive if possible.</li> </ul>
<p>60. I have determined the frequency and extent to which backups will be performed of departmental data to match the information's importance and risk of loss in order to ensure business continuity.</p>	<p><a href="#">HOP 8.15 – Acceptable Use Policy</a></p> <p><a href="#">UTSA Enterprise Backup and Data Recovery Standard</a></p>	<ul style="list-style-type: none"> <li>• Create a backup and recovery plan that allows for business continuity in the event of data loss or no availability.</li> <li>• Offsite backup options should meet or exceed the UTSA standards as well as any applicable state laws.</li> <li>• Testing should be performed to ensure proper recovery will occur in the event of an outage.</li> <li>• The plan should be reviewed and updated yearly.</li> </ul>
<p>61. Ensure any (University owned or Personal) mobile device (tablets, phone, etc.) accessing the UTSA network be configured with equivalent security options as would be required on a University-owned resource storing similar data or performing similar functions</p>	<p><a href="#">Standard for Portable Computing Security</a></p> <p><a href="#">Standard for Information Resources Users</a></p>	<ul style="list-style-type: none"> <li>• Device must be protected by a PIN or other protection method native to the device.</li> <li>• Device should be encrypted.</li> <li>• Device should have remote wipe (reset) enabled, if that feature is available.</li> <li>• Before a mobile device that contained UTSA data is sold, transferred or returned, the user must ensure that all of the data has been deleted.</li> </ul>
<p>62. All UTSA owned computing devices must be entered into Insight. Devices tagged by UTSA Inventory Control are automatically loaded into Insight. Non-inventoried assets are not being recorded in the UTSA Inventory system because of cost limits (under \$500) or other</p>	<p><a href="#">UTSA Standard for Configuration and Asset Management</a></p> <p><a href="#">Insight</a></p>	<ul style="list-style-type: none"> <li>• Add Non-inventoried assets to <a href="#">Insight</a>.</li> </ul>

rules. Department ID owners and their delegates must enter them into [Insight](#) at the Computer Categorization Summary page. Computing devices are defined as desktops, laptops, tablets, and smart phones.

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