UAHuntsville
THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

BUSINESS
MANAGEMENT
GUIDE

For Department Heads, Program Managers, and
Principal Investigators of Sponsored Projects

Ed. 10-2011

Introduction

This Business Management Guide describes and summarizes some of the policies, procedures, benefits, and programs applicable and available to employees of The University of Alabama in Huntsville ("UAHuntsville").

 UAHuntsville reserves the right, in its sole discretion and at any time, to modify any policy, procedure, benefit, or program described in this Guide and to make any other changes it deems appropriate.

 Although this Guide intends to reflect currently any policies or rules of The Board of Trustees of The University of Alabama referred to or incorporated herein, users are cautioned that changes or additions to such policies or rules may have become effective since the publication of this material. In the event of such a conflict, the current statements of Board policy contained in the officials minutes and manual of rules, by-laws, and guidelines shall prevail.

From the Assistant Vice President, Finance and Business Services

The University of Alabama in Huntsville *Business Management Guide* has been prepared especially for you in your role as head of an academic or administrative unit or manager of a program. It is designed to supplement the University's existing fiscal, human-resources, and other policies and procedures by offering a single source of information and guidance to help you implement policies and procedures as you perform the goals of your organization in a fiscally responsible manner.
The following are some of the topics addressed in this guide.

- Sponsored Programs

- Purchasing and Contracting

- Human Resources and Payroll

- Travel

- Receiving and Depositing Money

- Records Management

We hope you will find the guide useful, and we welcome your feedback on how to improve it. Updates will be issued periodically when significant changes in policies or procedures occur. Send your suggestions to Accounting and Financial Reporting at (256) 824-2233 or email them to Robert.Leonard@uah.edu.

For further assistance with any issue regarding the management of your department, contact the Assistant Vice President, Finance & Business Services.

Robert Leonard

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Purpose of This Publication

Section 1

Departmental Financial Management

The purpose of this section is to familiarize you with the key responsibilities for managing budgets, financial accounting and reporting.

Budgeting

Budgeting enables the University to allocate resources according to established plans and priorities and is a means of controlling expenses based on anticipated funding. You are responsible for managing the department's operating budget. Each department's budget is divided into the following principal categories.

- Personnel
- Benefits
- Operating Expenses
- Equipment

Major capital expenditures are reflected in separate budget statements.

During the fiscal year, you may wish to transfer funds from one general ledger (GL) account in the department's budget to another. Such transfers are made so that the budget reflects anticipated expenditures more accurately. You should request a transfer by submitting a *Request for Budget Change Form*.

The budget process is different for sponsored programs. Sponsored programs are discussed in Section 2 of this guide. You should contact Office of Sponsored Programs or Contracts and Grants Accounting for guidance on sponsored programs. If the department receives gifts, you should contact Office of University Advancement.

> ### *Key Terms in Section 1*
>
> *The University's **fiscal year** begins on October 1 and ends on September 30 of the following year. A fiscal year is identified by the combined years ("fiscal year 2010-2011") or by the ending year only ("FY 2011").*
>
> *An **operating budget** is a financial plan for one fiscal year that includes salaries and other routine expenses. Operating budgets for sponsored projects and other restricted funds may have varying periods. Each department manages its own operating budget in consultation with appropriate supervisory personnel.*
>
> *The **capital budget** is managed by the University's administration and includes planned expenditures for new construction, major repairs or renovations, and major equipment items.*

Best Practices in Managing Budgets

- Get input when preparing the budget, especially regarding equipment and material needs.
- Know the University/budget cycle and meet the deadlines.
- Plan ahead for requesting funds for long-range capital costs. Approvals may take longer than a single budget cycle.
- Plan ahead for the end-of-year report that will close out the fiscal year for the department to ensure all costs are captured in the appropriate period.
- Implement controls to help ensure that budgets are not overspent.
- Review cost centers monthly, paying close attention to overspending. Address the causes of overspending immediately.   When appropriate, request a budget revision.
- Do not stockpile budget allocations that are not expended. Under spending in one cost center does not mean that another cost center may be overspent.
- Remember that the budget is not etched in stone. Unanticipated items, recasting of salary type, revisions between departments, new activities and urgent needs are all reasons for requesting a budget revision.

Financial Accounting and Reporting

Banner is used to record financial and human resource transactions. Departments can access and print Budget Statements and other reports from Banner eprint repository. The Budget Statement is an accounting document representing the current budget and expenditures of a department's cost center(s) or of a particular sponsored project. Properly reconciling, reviewing, and approving the ledger report every month is the best way to maintain adequate control over your department's expenditures. The ledger has three sections:

- Sources and uses of funds,
- Current period line items (detail of posting during the period), and
- Budget analysis comparing budgeted to actual totals.

Also shown on Budget Statement are committed funds.

Key Terms in Section 1 Continued

Commitments or Encumbrances *are obligations for future expenditures for goods or services acquired through University purchase orders and requisitions and for employee salaries and benefits.*

General Ledger (GL) *Accounts are used to classify expenses by the nature of the cost incurred (travel, supplies, etc.) or revenues by the source of income.*

Approving Transactions

You have the authority to approve financial and human-resources transactions for the department. While you may designate one or more alternate approvers, you are ultimately responsible and accountable for the transactions being reasonable and appropriate and for complying with University policies and procedures.

You should designate at least one alternate approver so that transactions are processed timely in your absence. You should choose a qualified employee who:

- Does not approve any expenditures or payroll transactions in Banner that he or she has entered or prepared for entry, and
- Demonstrates sufficient ethical standards and knowledge of University and departmental operations to be entrusted with the responsibility for University funds.

Ledger Reconciliation and Review

Reconciling the ledger

The frontline of financial control – Although ongoing ledger activity may be reviewed in Banner, a formal reconciliation of the accounting records should be performed for all funds as soon as possible after the month closes. Reconciliation consists of the following steps:

- Compare departmental records with current month transactions (commitments, charges, and deposits) listed on the department ledgers. Ensure that the correct cost center or element, G/L account, amount, and so forth, was charged.
- Verify the sponsor award amount and budget for sponsored projects. Also note the end date and ensure that charges occurred within the project period.
- Ensure that all transactions appearing on the ledgers are accurate and authorized.
- Correct errors identified, documenting corrections as such on ledgers.

Key Terms in Section 1 Continued

Separation of duties reduces the risks of erroneous and inappropriate actions. An incompatible duty is one that would put a single individual in the position of being able to commit an irregularity and then conceal it.

In practice, three types of functions are considered to be mutually incompatible: authorization, recordkeeping and custody. No single individuals should be able to:

- *Authorize a transaction,*
- *Record the transaction, and*
- *Maintain custody of the assets resulting from the transactions.*

When these functions cannot be separated due to limited personnel, mitigating supervisory oversight should be used as a compensating control.

- If this duty has been delegated, the person who performs it should provide the reconciled ledgers for the cost center to you each month and maintain them in the department.

Reviewing the Ledger

The second important control in overseeing the department's financial records is the review and approval of the reconciled ledgers by an authorized approver, normally the department head. Reviewing the ledger helps ensure that all financial transactions are appropriate, accurate, and recorded properly and provides information about the status of budgets.

The authorized approver should consider the following questions.

- Compared to department budget, was a cost center or element overspent? If yes, why?
- Do the transactions appear appropriate for departmental or University business?
- Does it appear the ledgers have been reconciled?
- Has the reconciler explained unrecognized or undocumented transactions?
- What corrective measures should be taken to avoid the same problems in subsequent months?

The approver should sign or initial the reconciled ledgers each month to indicate that there were no unauthorized transactions.

Departmental Financial Management – Your Role

- Read and form a basic understanding of the University fiscal policies.

- Prepare and submit the required budget information (or data for their completion) through the appropriate channels.

- Authorize financial transactions, ensuring that sufficient funds are available in your department cost centers and elements.

- Ensure that appropriately authorized staff members are trained to process transactions accurately and on time.

- Ensure that duties are separated for employees who enter, or prepare for entry, expenditures or payroll transactions in Banner and employees who approve these transactions.

- Oversee the administration of all departmental funds to prevent over expenditure of any cost center or element. If overspending occurs, take immediate steps to fund the deficit.

- Ensure that a monthly reconciliation of department financial records is performed with the Department Ledger Report. Review the reconciliation each month and approve by signing or initialing.

- Ensure that approval and verification procedures are established in writing to ensure that all financial transactions are appropriate, described accurately, and recorded properly.

- Ensure that procedures are developed to maintain departmental records to accurately reflect adequate control and timeliness of departmental expenditures, and that records are retained in accordance with University policies.

Helpful Links

Banner Self Service Training Material:
http://www.uah.edu/admin/Budget/banner.php

Budget Change Form:
http://www.uah.edu/admin/Budget/forms.php

GL Accounts List and Description:
http://www.uah.edu/admin/Finance/account_code_template_10-11%20for%20web%20oper.pdf

Sponsored Programs

The purpose of this section is to familiarize you with the key responsibilities for managing sponsored programs, including proposal preparation and submission and post award contract and grant administration.

Criteria for Sponsored Research

If a project meets any of the following criteria, it is considered a sponsored project, and should be coordinated through the Office of Sponsored Programs (OSP). When in doubt about the sponsor requirements, contact the sponsoring agency.

- The University is bound by a specific statement of work.
- Invoices, separate accounts or reports of expenditures are required.
- Unexpended funds must be returned to the sponsor at the end of the project.
- The funds are accompanied by an agreement with specific terms and conditions.
- The project has a specific period of performance.
- A report or some other "deliverable" is required.

Obtaining a Contract or Grant

Steps to follow before you apply for funding.

- Notify the contract administrator.
- Coordinate the proposal with the Chairman or Dean/Director.
- Provide the basis for the budget to OSP.
- Prepare the technical and management sections of the proposal.
- Approve the final budget and provide the final technical proposal.

Keys Terms in Section 2

Proposal
All proposals must be internally reviewed, and must be signed by a University official who is authorized to sign. Proposal and budget should be provided to OSP three working days prior to the date of submission.

Revised proposal
A revised proposal is submitted as the result of funding agency-University negotiations. If the negotiated cost difference is more than 10% of the original budget, it is necessary to obtain University internal signatures again.

Donations
Donations or gifts to the University, which do not have the above criteria associated with the transaction, should be coordinated through the Office of University Advancement.

Compliance Requirements

The University is required to adhere to numerous laws and regulations regarding legal and fiscal conduct relative to research effort, including the following.

Animal Use

All research involving vertebrate animals must be approved by the Animal Use and Care Committee (IACUC). UAHuntsville and its IACUC maintain a strong commitment to ethical use of animals.

Conflict of Interest

All requests for sponsored program funding must include a conflict of interest disclosure form completed by the principal investigator.   A conflict of interest may exist when a University faculty or staff member has relationships that may impact their teaching, research or service responsibilities.   Relationships may cause conflicts if they directly or indirectly affect the financial interest of the faculty/staff member, their family or associates.

Cost Policy

Charges to sponsored awards should be made according to University cost policy and agency regulations. University cost policy is based on requirements in OMB Circular A-21.

Cost Sharing Policy

A cost sharing commitment should be properly expended and documented for reporting to the funding agency. Expenditure and accounting of cost sharing funds must be made in accordance with University cost sharing policy.

Debarment

In accordance with several Public Laws and Executive Orders, an individual, institution or firm that is debarred, suspended or excluded from doing business with the Federal, State or local governments cannot participate in government procurements or receipt of government monies. "Certification Regarding Debarment, Suspension and Other Responsibility Matters – Primary Covered Transactions" is signed by the Research Administrator on behalf of the University and the principal participants in the proposal. Every Principal Investigator has the responsibility to report any debarment situations to the Vice President for Research.

Effort Certification

University employees being paid from a sponsored award (or a corresponding cost sharing account) must complete a time and effort certification.

Export Control

All University employees and students working on a federal contract or grant, regardless of compensation level, must complete export control training.

Human Subjects

All research involving human subjects must be approved by the Institutional Review Board (IRB). The Federal Government establishes special regulations (<u>Title 45 of the Code of Federal Regulations, Part 46</u>) to assure the safety of all human subjects involved in research. UAHuntsville and its IRB maintain a strong commitment to treating human subjects ethically and to following all Federal Regulations. IRB approval is required to ensure that research involving human subjects meets these regulations and is designed to treat participants fairly and ethically.

Intellectual Property

University personnel involved in research are required to report any inventions, discoveries or new technology developed or discovered during the course of their research. The Principal Investigator acknowledges and agrees to this requirement with his/her signature on the proposal internal coordination sheet. Disclosure of inventions and/or new technology must be coordinated with the Office of Technology and Commercialization.

Purchasing

All purchases must be made through University Purchasing Department, unless otherwise approved by Business Services, the department providing centralized procurement services. For additional information see Section 3.

Program Income

Program Income means gross income earned by the recipient that is directly generated by a supported activity or earned as the result of an award. Program income should be accounted and expended according to the terms and conditions of the applicable contract/grant. In the event that the award terms are silent on this issue, the provisions of *OMB Circular A-110*, section .24 apply.

Responsible Conduct in Research (RCR)

All University employees (staff and faculty), post docs, visiting scholars and students working on a federal contract or grant, regardless of funding agency must complete RCR training. Initial requirements are six (6) hours of RCR training; with a minimum of four (4) hours face-to-face. Everyone must complete the on-line RCR training; courses identified by the Provost will satisfy the face-to-face requirement for undergraduate students. On-line training is available on the Office of Sponsored Programs website.

Safety & Environmental Hazards Requirement

Faculty and staff engaging in research involving the use of hazardous chemicals, biohazards, lasers, radioisotopes or other potentially hazardous activities must complete a project registration form prior to commencing such research. This action notifies the Office of Environmental Health and Safety (OEHS) of the activity.

Security

The Office of Research Security should be contacted about any sponsored project issues involving security clearances, badges and other clearances for access to government facilities, and industrial security matters.

Travel Guidelines

All University employees traveling under sponsored project awards must abide by University travel guidelines.

Managing Sponsored Programs – Your Role

Your responsibilities include the following activities.

- Ensure all individuals reporting to you and/or working on your sponsored research project have completed all mandatory training related to sponsored research.

- Conduct the proposed project as contractually agreed by the University and complete the program's technical objectives.

- Complete the funded program within the budgetary and time constraints, University policies, sponsor guidelines, and other applicable regulations.

- Ensure that all expenses charged are reasonable, allowable, allocable, and correctly classified as direct or indirect (F&A) costs.

- Ensure subcontractor's activities are in accordance with the primary agreement.

- Deliver required reports in a timely manner.

- Verify account statements each month.

- Report inventions to the Office of Technology and Commercialization in a timely manner.

- Notify departmental and campus officials of any decision to discontinue the project or transfer to another institution.

- Ensure that the effort of research staff is certified in a timely manner.

- Report all instances of, or appearances of, research misconduct to the University's Compliance Officer as soon as misconduct is suspected.

- Do not sign any document (awards, non-disclosure agreements, teaming agreement, etc.) on behalf of the University.

Section 2

Contact

Office of Sponsored Programs
Von Braun Research Hall, Room E-12
(256)824-6000

Contracts and Grants Accounting
Shelbie King Hall, Room 252
(256)824-6421

Helpful Links

Cost Policy:
 http://www.uah.edu/admin/c-g/cost%20policy.pdf

Cost Sharing
Policy: http://resadmin.uah.edu/resadminweb/information/compliance/cost_share.html

Disclosure of Inventions and/or New Technology:
http://www.otc.uah.edu/index.php?option=com_content&view=article&id=57&Itemid=62

Effort Reporting/Certification Policy and Procedures:
http://www.uah.edu/admin/Budget/documents/EffortReportingPolicy3-9-09_000.pdf

Export Control Training:
http://resadmin.uah.edu/RSA/exportcontroltraining.asp

Information on Human Subjects:
http://www.uah.edu/IRB/

Program
Income: http://resadmin.uah.edu/resadminweb/information/general/program_income.asp

Proposing Research Using Vertebrate
Animals: http://resadmin.uah.edu/resadminweb/information/compliance/IACUC.htm

Research Involving the Use of Hazardous Materials:
http://www.uah.edu/OEHS/

Responsible Conduct in Research (RCR) – On-Line Training:
http://resadmin.uah.edu/resadminweb/

Security Clearance:
http://resadmin.uah.edu/RSA/personnelclearances.asp

Section 3

Purchasing and Contracting

The purpose of this section is to familiarize you with the University's purchasing and contracting policies, procedures, and restrictions related to procurement activities. This information applies to the acquisition of goods or services from outside vendors and individual contractors. Because abuse can occur in this area, the department head should be aware of University-wide policies. Employees who fail to follow purchasing and contracting policies may be subject to disciplinary action and may be personally liable for unauthorized purchases or contracts.

Acquiring Goods and Services

Alabama Competitive Bid Law establishes that contracts involving $7,500 or more, regardless of the nature, shall be let by free and open competitive bidding, or sealed bids, to the lowest responsible bidder, except as otherwise provided.

Generally departments may acquire goods or services in the following ways:

- Enter a Requisition in the Banner financial system to issue a Purchase Order.
- Order from a vendor with P-card, according to University policies and procedures.
- Order from University bookstore.
- Contracting Professional Services. Departments should contract with persons or firms according to normal purchasing procedures. No University commitment will be recognized until a fully-executed Contract for Professional Services and/or Purchase Order is issued.

Key Terms in Section 3

Accounting Information
The University of Alabama in Huntsville is an instrumentality of the State of Alabama and is tax exempt.
State Certificate # EX-742
Federal Tax Exempt # 63-0520830

Uniform Policy Regarding Funds
The purchasing and bidding policies apply to all University funds regardless of the source. All funds must be handled consistently according to University policies except where direct conflict occurs with provisions of gift, grant, contract or restricted account.

Debarred/Suspended Vendors
Procurement Services must verify that the vendor has not been excluded from the Federal procurement and non-procurement program prior to issuing purchase orders against contract and grant and cost sharing companion accounts.

Federal Acquisition Regulations
Federal Acquisitions Regulations (FAR) apply to contracts and grants. Specific clauses pertaining to FARs must flow into bid documents and purchase orders that are over $25,000.

Blanket Purchase Order

A Blanket Purchase Order may be used for a number of miscellaneous items from the same vendor over an extended period. The period of encumbrance cannot extend beyond the current fiscal year.

Approvals

Department must obtain approval on all Requisitions and Purchase Orders before they are submitted to Procurement Services. Only those persons to whom signature authority has been delegated can approve requisitions.

Additional approvals are required for the following transactions.

Requisitions For:	Individual/Department
Expenditures associated with equipment, computers, peripherals, software, audio/video, and contracted services against fund 2xxxx accounts and cost sharing fund 159xxx accounts that are companion accounts to 2xxxx accounts	Office of Sponsored Programs
Any individual purchases over $25,000 by	Vice President for Finance and Administration
Radioactive supplies	Environmental Health & Safety
Vehicles, purchase or lease	Facilities & Operations
Purchase of maintenance items	Facilities & Operations
Public promotional activity advertisements to ensure conformity to University policy	Dean/Director and University Relations

Prohibited Purchases

UAHuntsville does not permit the purchase of the following items.

- Awards/plaques
- Briefcases
- Christmas cards
- Coffee pots/Refrigerators/Microwave ovens
- Employee get-well cards
- Expensive desk pads
- Fancy clocks

- Flower vases and arrangements
- Gifts
- Plants
- Receptions
- Alcoholic beverages

Individuals who wish to have such items in their offices should buy them with personal funds. Do not use University letterhead to buy personal items.

Repair of University Equipment

Departments must obtain an authorized Purchase Order before sending out University property for repair or estimate, including warranty repairs.

Sports Program Book

The University cannot place advertisements in any sports program book according to NCAA rules.

Key Terms in Section 3 Continued

After-the-fact Requisitions
A Requisition is after-the-fact when material or service is purchased before a Purchase Order is issued. Departments must justify their reasons for making an unauthorized purchase before Procurement Services will process the Requisition.

A third offence by a department will result in rejection of the Requisition, and the individual/department will be held responsible for that obligation.

Reimbursements
Miscellaneous Voucher reimbursements should be used only when the normal purchasing process cannot be followed.

Walk-Thru (RUSH) Requisitions
In an emergency, departments can process RUSH requisitions by walking them through the purchasing process.

Contact

Business Services
Business Services Building, Room 101
(256)824-6484

Helpful Links

Disclosure Statement:
http://www.uah.edu/admin/bussvcs/Instructions/Disclosure%20Statement%20System-09.pdf

Sole Source Justification & Form:
http://www.uah.edu/admin/bussvcs/Forms/Sole%20Source%20-08%20%28fillable%29.pdf

Professional Services Contract:
http://www.uah.edu/admin/bussvcs/Contracts/Professional%20Services%20Contract-General%20Terms.pdf

Sales Tax Exempt Form:
http://www.uah.edu/admin/bussvcs/Forms/Tax%20Exempt-08312012.pdf

Vehicle Insurance Identification Card:
http://www.uah.edu/admin/bussvcs/Forms/Alabama%20Insurance%20Identification%20Card_2010.pdf

Section 4

Procurement Card (P-Card) Program

The purpose of this section is to familiarize you with the P-Card, which provides departments with a more efficient process for purchasing and paying for small-dollar goods and services.

To Become a Participating Department

- Contact Procurement Services and request to be added to the P-Card Program.
- Submit appropriate application with department's organizational chart, signature authority for travel authorizations, and designate accounts to be utilized for P-Card.
- Receive training on Policies and Procedures and WORKS software.

To Become a Cardholder

- Must be approved by Dean, Director or Department Head.
- Must complete the application form.
- Must receive training on policies and procedures.
- Must sign the appropriate paperwork.
- Must review and understand Policies and Procedures Manual.
- Must be assigned to a trained Reconciler located in your area.

An Approving Official must be designated to sign the reconciled monthly cardholder report.

> ### Key Terms in Section 4
>
> ***WORKS Software -*** *the provider of the management software for the P-Card program. Functionality includes on-line reconciliation.*
>
> ***Reconciler -*** *an employee in each department designated to be responsible for reviewing transactions of individual cardholders, and reconciling all transactions to the monthly cardholder summary report.*
>
> ***Approving Official -*** *The University Official who has the fiscal responsibility for the account number(s) to which transactions are charged. The Approving Official must review and approve all transactions and documents listed on the monthly statement and reconciliation report.*

Cardholder Responsibility

The P-Card is a corporate charge card which will not affect the Cardholder's personal credit. The P-Card must never be used to purchase items for personal use or for non-University purposes even if the Cardholder intends to reimburse the University. A cardholder who makes an unauthorized purchase with the P-Card or uses the card in an inappropriate manner will be subject to disciplinary action.

Card Sharing

It is not permissible for Cardholders to share his/her card with another individual.

Training

Training is scheduled on an individual basis upon participation in the program. (See contacts at the end of this Section)

Separation of Duties

A Reconciler can also be a Cardholder, although we recommend these roles be separated when possible. The person making the purchase and/or reconciling must not be the same person who approves all transactions.

Sales and Use Tax

The cardholder should advise the supplier of the tax exempt status and should monitor the purchases to verify that no tax is charged.

Purchase Request for Travel

- Cardholder must provide approved University travel authorization to the Reconciler.
- Reconciler will enter Purchase Request for travel approval on behalf for the cardholder.
- Reconciler will print a copy and give it to the Cardholder for signature before travel arrangements are completed.
- Traveler will forward all receipts to the Reconciler.
- Reconciler will allocate the transactions, print a summary report and forward copies of all receipts in the monthly reconciliation packet to Procurement Services.
- Cardholder must submit reimbursement for meals on the appropriate travel voucher.

Restrictions

P-Card may not be used for the following:

- Alcoholic beverages
- Cash advances
- Computers
- Mailing services (bulk)
- Meals for travel
- Personal items
- Travel (In-state)

> *The University has an office supply contract. P-card purchases made for office supplies from any other source should contain justification for reason University contract was not used.*

This is not an exhaustive list. An expanded list may be found on our website.

Cardholder Termination

A P-Card account must be closed if a cardholder: (a) transfers to a different department, (b) terminates employment or (c) becomes subject to disciplinary action and termination in accordance with University Policies and Procedures.

Managing P-Cards – Your Role

Your responsibilities include the following activities.

- Contact Procurement Services and request to be added to the P-Card Program.

- Provide your department's organizational chart and signature authority for travel authorizations.

- Receive training on Policies and Procedures and WORKS software.

- Ensure separation of duties is followed with the P-Card program.

- Ensure all University policies and procedures for the expenditure of funds are followed.

Section 4

Contact

Business Services
Business Services Building , Room 101
(256)824-6484

Procurement Card Coordinators:
Printess Pickens at (256)824-6515 or pp001t@uah.edu
Demetrice Mitchell at 824-1863 or mitched@uah.edu

Helpful Links

Procurement Card Application Form (General):
http://www.uah.edu/admin/bussvcs/Forms/PCard%20Application-10.pdf

Procurement Card Application Form (Grants):
http://www.uah.edu/admin/bussvcs/Forms/Grant%20PCard%20Application.pdf

Procurement Card Cardholder Statement of Disputed Items:
http://www.uah.edu/admin/bussvcs/Forms/BAC%20Cardholder%20Statement%20of%20
0Disputed%20Item-09.pdf

Procurement Card Missing Receipt Affidavit:
http://www.uah.edu/admin/bussvcs/Forms/PCard%20Missing%20Receipt%20Affidavit-
09.pdf

Procurement Merchandise Authorization Form:
http://www.uah.edu/admin/bussvcs/Forms/PCard%20Merchandise%20Return-09.pdf

Human Resources and Payroll

This purpose of this section is to provide an overview of the University's Human Resources and Payroll system and outline your responsibilities. A large percentage of the University's financial resources are expended on employee pay and benefits; therefore, maintaining adequate control over the Human Resources and Payroll function is essential.

Separation of Human Resources and Payroll Duties

The integrity of the University's Human Resources and Payroll system depends on properly functioning controls at the department level. An important control is separation of duties so that the department's Human Resources and Payroll functions are divided between two or more individuals. The table below provides a minimum standard that departments should follow concerning separation of duties.

Clerical Functions	Administrative Functions
Enter appropriate change request information into Banner, or forward paper form to Human Resources	Approve electronic request in Banner or approve paper form
Enter hours worked into Banner	Approve time and leave records
	Review budget statements

> ### Key Terms in Section 5
>
> ***Banner*** *is the University's primary financial system used for accounting, human-resources, budgeting, and procurement activities. The system contains salary and other information for internal management purposes and external reporting requirements.*
>
> ***Exempt and Nonexempt*** *are the two main classifications of University staff. Human-resources offices determine these designations according to the provisions of the Fair Labor Standards Act. Employees who are exempt from the provisions do not receive overtime pay, whereas nonexempt employees may receive compensatory time or overtime pay.*

Department heads with multiple sections under their control may delegate the responsibility for monitoring to the heads of these sections. The section heads have the most knowledge about their areas and would be the most effective reviewers.

Hiring Procedures

All applicants for staff positions must submit an application to Human Resources using the online application system. The initial screening is performed in Human Resources by an employment representative.

Minimum Age for Employment

No person may be employed by the University who is below the age of 16 years. Persons between the ages of 16 and 18 may be required to obtain age certificates prior to obtaining University employment.

Employment of Family Members

The University permits the employment of qualified relatives of existing employees as long as such employment does not, in the judgment of the University, create actual or perceived conflicts of interest. An immediate family member for the purpose of this policy includes one's spouse, parents, grandparents, children, grandchildren, brothers, sisters, or corresponding in-law or "step" relationships.

Selection of Candidates

Supervisors should notify an employment representative in Human Resources when a candidate is selected. Offers of employment will be made by Human Resources after consulting with the department regarding starting dates, work schedules, and beginning rates of pay, subject to the University's compensation policies.

Performance Review

It is the policy of the University to administer a formal performance appraisal program for employees. The review will be conducted by the supervisor annually.

Disciplinary Actions

Supervisors must consult with and coordinate the recommended course of action through Human Resources in each individual case to promote consistency of treatment and fairness in administering the disciplinary system.

Contact

Human Resources
Shelbie King Hall, Room 102
(256)824-5000

Helpful Links:

Bi-Weekly Calendars:
http://www.uah.edu/admin/payroll/biweeklycalendars.html

The Staff Handbook:
http://www.uah.edu/admin/HR/policies/Staff%20HandBook.pdf

The Faculty Handbook:
http://www.uah.edu/facsen/Faculty%20Handbook/CHAPTER%207.htm

Performance Evaluation Form:
http://www.uah.edu/admin/HR/Performance%20Evaluation%20Form%20Instructions.pdf

Petty Cash

The purpose of this section is to provide an overview of petty cash funds, which may be established by sending a written request to the Accounting and Financial Reporting Office. Petty cash is limited to departments that demonstrate a frequent need for such funds.

Restrictions

Petty cash funds may not be used for the following:

- Meals
- Travel
- Registration fees
- Food
- Supplies and materials available from campus bookstore, central supply stores, or any other university department
- Check cashing
- Loans
- Items for personal use
- Payments to individuals

Reimbursing the Fund

Departments must request reimbursement of petty cash expenditures using a *Misc Voucher Form*. Departments are charged for purchases when the fund is reimbursed for expenditures or shortages. These charges will appear on the department's ledgers after a reimbursement check is sent to the custodian. The custodian is responsible for cashing the check to replenish the fund.

As of September 30 each year, a reimbursement request must be submitted for all unreimbursed expenditures or shortages of the fund. This ensures that expenditures are recorded in the correct fiscal year. Departments must reconcile their petty cash funds as of September 30 and submit documentation of the reconcilement to the requesting office.

> ### *Key Terms in Section 6*
>
> *A **Petty Cash Fund** is a cash advance from the Accounting and Financial Reporting Office to the department head or official custodian. Generally, petty cash is used as a change fund for cashiering operations or to purchase minor items necessary for departmental business from sources outside the University. See Restrictions.*
>
> *The **Petty Cash Custodian** is responsible for all activities involving the petty cash fund, including safekeeping of the fund, obtaining proper documentation for expenditures, and preparing requests for reimbursement. The department head may serve as custodian or designate another employee to act in this capacity.*

Closing or Decreasing the Fund

To close a petty cash fund, or decrease the amount, departments must process a deposit and send a memo stating that the account or fund was closed or decreased to the Accounting and Financial Reporting Office. If this action is not performed according to University procedures, the department will continue to be held responsible for the petty cash funds. Contact the Accounting and Financial Reporting Office with questions.

Managing Petty Cash Funds - Your Role

Your responsibilities include the following activities:

- Request the petty cash fund.

- Appoint a custodian of the fund.

- Ensure that the custodian is properly trained to manage the fund in compliance with University policies.

- Review and approve each Petty Cash Reimbursement Request Form and ensure that the goods and services purchased are acceptable and allowable and that funds are available for the purchase.

- Notify the Accounting and Financial Reporting Office when the custodian for the fund changes.

- Ensure that adequate facilities and procedures are in place to safeguard petty cash from theft or misappropriation. At minimum the following controls should be in place.
  - Provide safekeeping facilities commensurate with the size of the fund.
  - Limit access to the fund to as few employees as possible.
  - Request frequent reconcilement of the fund by someone other than the custodian.
  - Keep petty cash funds separate from other funds.

- Report shortages or thefts immediately to the Accounting and Financial Reporting Office.

Section 6

Contact

Accounting and Financial Reporting
Shelbie King Hall, Room 231
(256)824-2248

Helpful Links:

Petty Cash Policies and Procedures:
http://www.uah.edu/admin/bussvcs/Instructions/Petty%20Cash.pdf

Travel

The purpose of this section is to highlight the University's travel policies. Employees who travel while conducting or attending University-sanctioned activities may be reimbursed for expenses within the limits imposed by policy.

The University uses the state meals and lodging per diem for travel inside the state of Alabama and reasonable and customary actual expense for travel outside the state of Alabama.

Pre-Approvals

All faculty, staff, and students traveling outside the state on University business should complete an *Authorization for Official Travel Form* before leaving on the trip. All out-of-state travel should be approved in advance by the appropriate vice president or designee. If the *Authorization for Official Travel* is not approved in advance, the traveler is traveling at his or her own risk until approval is obtained.

In-state travel requires pre-approval only when traveling on contract, grant or cost sharing companion accounts.

Procurement Card

Because employees are not eligible for travel advances for most trips, the University makes a Procurement Card available for travel expenses for eligible employees. Application is available from Business Services. See Procurement Card section of this guide.

Reimbursement of Expenses

Faculty, staff, and students traveling out of state on University business should submit an *Out-of-State Expense Voucher* for reimbursement of travel expenses no later than 60 days after the completion of travel. A copy of the approved *Authorization for Official Travel* form should be submitted with the *Out-of-State Expense Voucher*. Acceptable itemized receipts must be submitted for all lodging, registration fees, airfare, and rental-car expenses, in addition to any other allowable expenses of $75 or more (for example, parking fees, taxis, airport limos, and other ground transportation).

For in state travel, submit requested reimbursements on an *In-State Travel Expense Voucher*.

Lodging

Employees will be reimbursed actual, reasonable and customary amounts for lodging for out-of-state travel. Original receipts are required for reimbursement.

Meals

Employees will be reimbursed actual cost of meals for out-of-state travel – costs should not exceed an average of $40 per day for the total duration of the trip

In-state travel is reimbursed at a per-diem rate, which includes lodging and meal allowance. Daily allowance is determined by number of hours in travel status. If meals are provided (for example, as part of a conference fee) no per diem or actual amount will be reimbursed for meals.

Tips

Tips may be reimbursed but should not exceed 20 percent. The traveler is allowed to add the tip to the receipt.

Transportation

Employees should always choose the most practical and economical means of transportation. Employees usually travel by plane or vehicle (private or University owned). The University will reimburse employees only for standard coach airfare and will reimburse the standard mileage rate for private vehicles.

Sponsored Programs

Travel expenses paid from sponsored-program funds will be reimbursed in accordance with University policy unless otherwise stated in the contract or grant. All travel charged to sponsored contract, grant or companion cost-sharing account must be pre-approved on *Authorization for Official Travel* form. Persons traveling under federally funded accounts (Contract and Grant and cost sharing companion accounts) should be aware of, and adhere to, U.S. Flag Carrier regulations (FAR 47.4), which requires use of U.S. carriers for government-financed travel.

Honorariums

Employees who receive an honorarium from outside organizations must remit it to the University if they claim reimbursement for travel expenses.

Managing Travel – Your Role

Your responsibilities include the following activities.

- Be familiar with the University travel policies and ensure that all departmental employees who travel, process travel expenses, and make travel arrangements are also familiar with these policies.

- Determine that all travel is justifiable before approving the travel or reimbursement of expenses. The travel should be necessary to conduct University business or to pursue the University's objectives. Conferences and other meetings should relate directly to an employee's duties and responsibilities.

- Ensure that exceptions to University policy are documented and appropriate approvals obtained.

- Approve out-of-state travel in advance of the trip using *Authorization for Official Travel* form.

- Approve travel expense claims. Your approval indicates the expenses claimed are in accordance with University policy and payment should be made from the cost center or element indicated.

- Ensure employees are conservative in expending University funds for travel.

Contact

Accounting and Financial Reporting
Shelbie King Hall, Room 225
(256)824-2239

Helpful Links:

UAHuntsville Travel Guidelines:
http://www.uah.edu/admin/Finance/Policies/UAH%20Travel%20Policy%20March%202020
09.pdf

Other Information Including Travel Vouchers, Mileage Rates and U.S. Flag Carrier Regulations:
http://www.uah.edu/admin/Finance/travelinfo.html

Equipment

The purpose of this section is to familiarize you with the duties regarding the acquisition, use, maintenance, disposition, and control of equipment in the department's custody. Department heads are responsible for ensuring that established policies and procedures related
to equipment are followed.

Maintaining Inventory Records

The accountability for equipment lies with the Budget Unit Head who is responsible for all property assigned to his or her area.

Responsibility

The outgoing Budget Unit Head must sign off and account for all capital equipment in his or her old location before leaving. The incoming Budget Unit Head must sign for capital equipment in his or her new location.

Key Terms in Section 8

Inventory Control *conducts a campus-wide survey every two years.*

Departments *should notify Inventory Control of any equipment changes or transfers by completing the Property/ Relocation Transfer Form.*

Environmental Health and Safety *must approve all requests for radioactive products.*

UAHuntsville *will not reimburse you for equipment, computers, or computer peripherals purchased with your personal funds.*

Screening

Before purchasing new equipment, departments must screen equipment against the department's or University's inventory to ensure no item or similar item is available for shared use to avoid duplicate purchases. The following guideline is recommended.

Equipment Costs	Screening Requirements
$5,000.00 - $9,999.99	None
$10,000.00 - $24,999.99	Department-level
$25,000.00 - $49,999.99	College-level
$50,000.00 or more	Campus-wide

All equipment purchases on research funds must be screened by the department and verified and/or approved by Office of Sponsored Programs.

Accounting for Equipment

All computer and audio/visual equipment over $500 and laboratory equipment over $2,000 will be tagged with a non-capital equipment bar code label. All equipment over $5,000 will be tagged with a capital equipment bar code label.

Equipment with Special Requirements

The requisitioning department must obtain special approvals when purchasing equipment with the following special requirements:

- Uses non-standard electrical outlets,
- Exceeds space requirements, and
- Weighs 2000-pounds or more.

The department must contact Procurement Services and Facilities and Operations to determine availability of electrical power and check space requirements and floor loading, as applicable. The approval must be clearly indicated on the requisition.

Repair of University Equipment

Departments must obtain an authorized *Purchase Order* before sending out University property for repair or estimate, including warranty repairs.

Disposal of Property

The normal method for disposal of University property is through surplus declaration. If a department wants to loan equipment to an off-campus school, business or organization, cannibalize a piece of equipment for parts, or trash an item because it is no longer repairable, usable and/or has no resalable value, the *UAHuntsville Property Disposition Form* must be used.

Personal Equipment

University employees with personal equipment on campus must maintain control of their equipment. UAHuntsville provides insurance coverage for personal property in employee's care, custody, and control for up to $2,500 per location.

Section 8

Stolen Property

The Budget Unit Head should notify Inventory Control and University Police as soon as he or she suspects capital equipment has been stolen.

Managing University Equipment – Your Role

Your responsibilities are listed below.

- Ensure that detailed inventory records are maintained for the department.

- Before purchasing new equipment screen equipment according to the guideline.

- Ensure that University equipment is used only for official business. When equipment must be removed from the campus for official reasons, it must be checked out properly.

Contact

Business Services
Business Services Building, Room 101
(256)824-6484

Helpful Links:

Policies, Procedures and Forms:
http://www.uah.edu/admin/bussvcs/Instructions/Policies%20%20Procedures%20Manual%202008.pdf

Receiving and Depositing Money

The purpose of this section is to familiarize you with University policies and procedures regarding the receipt of money. Money received is extremely vulnerable to theft or misappropriation. It is essential that departments take all appropriate actions to safeguard these funds until they are deposited.

Receiving Money

Departments must record all money received on a pre-numbered receipt, cash register, or other method approved by the Bursars Office. If your department receives currency, an official receipt must be given to the payer.

Departments that are unable to issue an acceptable receipt should not accept currency payments. Departments that regularly receive payment for goods and/or services should develop written procedures to collect and transmit the money to the Bursar's Office.

> ### *Key Terms in Section 9*
>
> ***Money*** *includes currency, checks, and other negotiable instruments received by a department for goods or services or as a refund, reimbursement, or gift.*
>
> *A **Monthly Reconciliation** consists of comparing the original receipts to the deposit documents and the official accounting records.*

Departments are eligible to accept debit or credit cards, both on site and through the Internet. Departments must follow guidelines and procedures, which must be reviewed by the Information Technology Officer and the Accounting and Financial Reporting Office.

Safeguards for Receiving Money

- Payers should make checks payable to "The University of Alabama in Huntsville". Checks should not be payable to individual departments or employees.
- All checks received should be endorsed immediately with a UAHuntsville endorsement stamp. The endorsement must identify the receiving department.
- Faculty members may not collect money from students.
- If a receipt for payment is prepared in error, it should be voided immediately and all copies retained. A new correct receipt should be issued to replace the voided one.
- Employees who invoice customers or record payments should not have access to money received.
- Until deposited, funds must be safeguarded adequately at all times. Access to funds should be limited to as few employees as possible.

- In general, employees should not serve as custodian of third-party funds (that is, funds belonging to outside organizations) as part of their official duties unless the money is recorded in an agency fund with the University.

Depositing Money

University policy requires departments to transmit all money received to the Bursar's Office daily.

All money received by a department on September 30 each year must be deposited on October 1 and clearly marked "October 1 as of September 30" to be properly recorded for the correct fiscal year.

Safeguards for Depositing Money

- If large sums of money are involved, or if the facilities do not provide adequate physical security, departments should avoid retaining money received over nights, weekends, and holidays.
- Deposits should never be sent through campus mail.
- Departments should use University police department to transport large deposits.
- Departments must retain copies of deposit records and receipts in accordance with University retention policy.
- All funds must be deposited intact. Expenditures may not be made from money received, and the money may not be kept in a department for its use.
- A monthly reconciliation should be performed, preferably by an employee who does not handle money. The department's deposits must be reconciled to the appropriate Banner cost center to verify that the correct amount was deposited and credited to the department's ledgers.

Crediting Funds to the Appropriate Cost Center

- Money collected from the sale of goods or services generally is considered to be revenue and should be credited to an income cost center.
- Money collected to reimburse prior expenditures should be credited to the appropriate expense cost center and general ledger account.
- Money collected as gifts should be credited to a gift fund balance.
- Money may be collected for other purposes and should be credited appropriately.
- State and local sales taxes must be collected on the retail sale of certain goods and services, like ticket sales.

Managing Money Received – Your Role

Your primary responsibility is to ensure that a system is in place to record and safeguard all money received until it is deposited. You should periodically review departmental records and the procedures used in this system.

Your responsibilities are to ensure the following conditions.

- Employees who are assigned cash-handling duties should be trustworthy and trained adequately in the appropriate procedures. Written procedures should be available to these employees.

- You (or your designee) must sign the *Report of Collections*. This signature certifies that the document accurately reflects the deposit of all money received and that the cost center to be credited is correct.

- Supporting documentation for receipts and deposits should be retained for the period specified in University policy.

- Appropriate sales tax should be collected for all taxable transactions.

Contact

Office of Bursar
University Center 214
(256)824-6223

Shortages, Property Losses and Fraud

The purpose of this section is to addresses your responsibilities in handling cash shortages, loss of property, and suspected fraud, waste, or abuse regarding University resources. The department head's primary responsibility is to report the situation to the proper authorities as soon as possible after it is discovered.

When any incident is discovered or suspected, the department head should determine whether an employee might be involved. Depending on the type of asset allegedly lost, the method of loss, and whether a University employee is involved, an investigation will be conducted by appropriate management.

Cash Shortages and Property Losses

You should report cash shortages and thefts in which an employee is suspected.

Cash and property losses resulting from robbery or apparent burglary should be reported immediately to the Police Department.

Fraud, Waste, and Abuse

You are responsible for reporting suspected fraud, waste, or abuse by employees, outside contractors, or vendors and any such allegations made to you. Information received regarding such activity is confidential, though court action could require disclosure. Regulations also prohibit discrimination or retaliation against employees who report allegations.

Reporting Fraud, Waste, and Abuse

You should make members of your department aware of the options for reporting suspected fraud, waste, or abuse.

> ### *Key Terms in Section 10*
>
> *A **shortage** is a theft or unexplained loss of University funds. For example, shortages may occur when revenue deposited is less than revenue received or when the petty cash on hand is less than the amount assigned to the department.*
>
> ***Property** comprises University equipment and supplies.*
>
> ***Fraud, waste, and abuse** generally involve deliberate acts with the intention of obtaining an unauthorized benefit. Examples are theft or misappropriation of resources, improper and wasteful activity, unauthorized alteration or manipulation of computer files, forgery or alteration of documents, bribery or attempted bribery, authorizing or receiving compensation for hours not worked, and so forth.*

Section 10

When Shortages, Property Losses, or Fraud Occur

You are required to take the following actions when shortages, property losses, or fraud occur.

> ### *Be Sure Before You Accuse*
>
> *Before making allegations of dishonesty, you should be reasonably certain of any claims. Such allegations can affect the accused person's life negatively and can damage the working environment of your department.*

- Report loss.
- Implement necessary procedures to reasonably protect University assets from future losses of a similar nature.
- Cooperate with the investigating team.

You <u>should not</u> take the following actions.

- Conduct investigations to determine the total of assets lost or to identify responsible persons except when instructed to do so.
- Alert the suspected individual of an impending investigation.
- Negotiate any settlement with employees who are suspected of theft.
- Collect amount owed to the University by employees as a result of theft.
- Take any disciplinary action against an employee, other than suspension, before an investigation is complete.
- Accept the resignation of any employee who is suspected of, under investigation for, or guilty of theft unless approved by management, Vice President for Finance or the Chief Financial Officer.

Contact

Public Safety
Intermodal Facility
501 John Wright Drive
Emergencies (256)824-6911
Non-Emergencies (256)824-6596

Records Management

The purpose of this section is to familiarize the you with the key responsibilities related to past, present, and future records.

What Is a Record

A record is information created or received and maintained by the University regardless of the media, used to control, support, or document the activities and transactions of the University. Records may include the following:

- General correspondence and administartive records
- Financial transactions
- Work papers, drafts, and versions
- Databases and tables
- Personnel and employment documentation
- Student and class documentation
- Web sites
- Electronic media, tapes, disks, hard drives, and portable storage devices
- Electronic messages, including email, IM, and voicemail
- Metadata associated with records

UAHuntsville Records Retention Policy

The University follows the State of Alabama Record Retention Policy. Two major categories of records are created and/or maintained by the University.

- Temporary records
- Permanent records

Temporary Records

Temporary records should be held for what is considered their active life and should be disposed of once all fiscal, legal, and administrative requirements have been met. Following are considered temporary records.

- Recruitment materials and records (excluding reports, statistical information, or procedures)
- Alcohol influence reports
- Capital improvements contract records
- Training and professional development records
- Department/Unit personnel files

- Employee leave records
- Payroll records
- W-2 Listing
- Travel records
- Accounting records

This is not an exhaustive list.

Permanent Records

The Government Records Division recognizes the following records as permanent.

- Recruitment materials and records (reports and procedures)
- Student handbook
- Course and curriculum records (records of approved classes)
- Library/Archives records
- Student publications
- Athletics case file
- Grade sheets
- Grade statistics
- Graduation list
- Individual student academic records
- Research project records
- Research policies
- Policies and faculty handbook
- Permanent financial documentations
- University budget
- Grant records (final report)

This is not an exhaustive list.

Contact

Accounting and Financial Reporting
Shelbie King Hall, 229
(256)824-2233

Helpful Links:
Record Retention Policies:
http://www.archives.state.al.us/officials/rdas/Universities_aug05.pdf

Information Technology Resources

UAHuntsville provides information-technology (IT) resources for conducting authorized University business related to education, research, service, and administration. This section describes your obligation to ensure that the University's IT resources are used responsibly and according to acceptable standards.

User Responsibilities

Users must engage in safe computing practices such as routinely changing passwords, ensuring the integrity of electronic media introduced, and maintain current virus-protection software.

Reasonable minimal personal use of the University's IT resources is allowed.

Prohibitions

The following are examples of prohibited activities.

- Using IT resources for personal gain; illegal or obscene activities such as theft, fraud, gambling, copyright infringement, and sound or video recording piracy and either viewing or distributing illegal pornography.
- Using e-mail inappropriately, including the initiation or transmission of chain mail, harassing or hate mail, viruses, spam, junk mail, etc.
- Hacking or attempting to hack into University computers, non-University computers or networks.
- Using any University resources, including IT resources, to endorse specific political candidates.

Key Terms in Section 12

IT Resources *are defined as, but are not limited to, computers, computer systems, network devices, telephone systems, or software applications.*

Hacking *is gaining unauthorized access to computer systems for the purpose of stealing and corrupting data or using a system to access another computer system.*

Firewall *is a device or software package that can actively monitor internet traffic to and from a computer, provide detailed logs of hacking attempts against a computer, and be configured to block undesired traffic. Firewalls can significantly hinder a hacker's ability to acquire information about or from a computer.*

Privacy

While the University recognizes the role of privacy in an institution of higher learning and will make every attempt to honor that ideal, users should have no expectations of privacy of information stored on or sent through University-owned information systems and its communications infrastructure. The University reserves the right to preserve or

inspect without notice any information transmitted through or stored in its computers, including e-mail communications, as deemed necessary.

Incident Response

A suspected compromise of any system that stores, processes or transmits confidential information must be reported to the Campus Security Officer immediately.

Good Password Sense

Passwords should not be publicly displayed, written down or shared. Longer passwords are better. Experts recommend at least 9 characters. Avoid using dictionary words. Strong password should contain the following elements.

- Numeric
  (1, 2, 3…)
- Special
  (/, [, =, +,………..)
- Lowercase
  (a, b, c, d …)
- Uppercase
  (A.B, C, D…)

Virus protection

These are the three most important ways to protect a computer from virus infection.

- Apply security updates to the operating system and other installed applications as soon as they are available.
- Be careful and selective in opening e-mail attachments, visiting web-sites and viewing links.
- Install antivirus software. The University provides a centrally managed version of McAfee.

Managing IT Resources – Your Role

You are responsible for the following oversight activities.

- Ensure that all departmental staff members who use IT resources are familiar with, and abide by, applicable University policies and regulations.

- Ensure that staff members use the University's IT resources appropriately to fulfill their work responsibilities and that personal use, including e-mail, is limited and appropriate.

- Ensure that users employ safe computing practices, including strong password management and antivirus protection.

- Ensure, if applicable, that your departmental System Administrator takes appropriate measures to maintain the security of IT data and systems.

- Ensure that computer hard drives and other electronic media containing confidential or sensitive data are sanitized before their disposal or transfer.

- Backup your system and files periodically.

Section 12

Contact

Computer Network Services
VBRH C4
(256)824-6820

Helpful Links:

UAHuntsville General Computer Use policy:
http://www.uah.edu/itsolutions/about/comp_use_policy.php

UAHuntsville E-mail Policy:
http://www.uah.edu/itsolutions/about/email_policy.php

Alabama Research and Educational Network (AREN) Acceptable Use Policy:
http://www.asc.edu/html/accusepol.shtml

Software Licenses:
http://www.uah.edu/itsolutions/software.php

Data Standards:
http://www.uah.edu/itsolutions/banner/standards.php