



## Creation and Maintenance of UT Arlington Procedures, Forms and Exhibits GA-UA-PR1

Responsible Officer: Vice President for Business Affairs and Controller  
Sponsoring Department: Business Affairs and Controller  
Revision Date: 15 February 2011  
Errors or changes to: [aim@uta.edu](mailto:aim@uta.edu)

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### PROCEDURE OBJECTIVE

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This procedure specifies a standard methodology to create and maintain official procedures, forms, and exhibits used by two or more departments at The University of Texas at Arlington. Procedures are not policy documents: procedures are documented operational procedures authored by departments who have been given the delegated authority to publish procedures that require participation and/or compliance by other departments; therefore, they are not departmental procedures. Procedures ensure compliance with a variety of UT Arlington, University of Texas System Administration, State of Texas, and federal laws, statutes, policies, rules and regulations.

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### SCOPE

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All UT Arlington departments authoring procedures, forms, or exhibits used by two or more departments.

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### RESPONSIBILITIES

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## **Author of Procedure, Form, or Exhibit**

- The department who has primary responsibility for the purpose and deliverables of a procedure may author and revise the procedure. The department who has primary responsibility for the procedure that a form or exhibit supports may author and revise the form or exhibit.
- Approves all changes to procedures, forms, and exhibits assigned to author.
- Receives input from departments involved in new or revised procedures, forms, and exhibits. If new or revised procedures, forms, or exhibits involve departments that do not report to the authoring department's vice president or equivalent, then all appropriate additional administrators will be asked to review and approve information referencing their departments.

## **Business Affairs Administrative Information Management Department**

- Reviews, publishes, and updates all procedures, forms, and exhibits.
- Assigns numerical designations for new procedures, forms, and exhibits.
- Maintains publication and disposition records of all designated procedures forms, and exhibits.
- Maintains archives of each version of procedures, forms, and exhibits.

## **Contact within Sponsoring Department**

- Answers users' questions regarding procedures and forms requirements.

## **Sponsoring Department**

- Provides author and point of contact subject matter experts for new and amended procedures, forms, and exhibits.

## **Vice President or Equivalent**

- Provides sponsoring department for new or amended university procedures, forms, and exhibits.
- Approves initial publication of university procedures authored by reporting departments.
- Approves significant changes to university procedures and forms within reporting departments.

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## **PROCEDURES**

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## Section I. Submit New or Amended Procedure, Form, or Exhibit

- A. Ensure that the Proposed Action will not Duplicate, Overlap, or Contradict an Existing Procedure, Form, or Exhibit

If the proposed action will result in duplication or overlap with an existing procedure, form, or exhibit, then the author of the existing item should be contacted to determine if the existing item needs to be amended in lieu of creating a new item.

- B. Follow Format for Creating or Revising a Procedure

A new or revised procedure draft will follow the format requirements as specified below.

1. Designate an Owner Department

UT Arlington departments will be accountable for content. There can be only ONE owner for publication purposes. In general, the procedure will relate to the core responsibilities of the authoring department. This section must contain the following ordered elements

Procedure Number and Title:	(contact <a href="mailto:aim@uta.edu">aim@uta.edu</a> for new numbers)
Origination/Revision Date:	(2 digit day, Complete Month, 4 digit year)
Responsible Officer:	vice president or <u>equivalent</u> over sponsoring department
Sponsoring Department:	department accountable for procedure content
Errors or Requested Changes to:	<a href="mailto:aim@uta.edu">aim@uta.edu</a>

2. Create a Table of Contents

Procedures will have the following table of contents. Dependent upon the procedure content, some sections may be designated as not applicable (N/A).

Procedure Objective	required
Scope	required
Responsibilities	required
Procedures	required
Forms, Tools/Online Processes	N/A allowable
Definitions	N/A allowable
Rationale	required
Related Statutes, Policies, Requirements or Standards	required
Appendices	N/A allowable
Contacts	required
Website Address for this Procedure	required

3. Complete Defined Content Requirements

**PROCEDURE OBJECTIVE (required)** A procedure objective delineates the purpose of the procedure, or what business purpose is accomplished by the procedure. Generally three to five sentences

**SCOPE (required)** A list of the UT Arlington departments to which the procedure applies.

**RESPONSIBILITIES (required)** Summarizes the responsibilities of each UT Arlington officer named in the procedure. Reference officers by titles, not by names.

**PROCEDURES (required)** Describes in specific terms how the procedure will be implemented and performed. Documents the action steps, activities, or mechanisms through which the terms or requirements of a procedure will be implemented. Instructions are documented in the order in which they are performed.

**FORMS AND TOOLS/ONLINE PROCESSES (N/A allowable)** Contains forms and tools/online processes, or website links to forms and processes required for completion of steps in the procedure. If the referenced item is a university form or exhibit use the correct title and number.

**DEFINITIONS (required where procedure content contains language and/or acronyms unfamiliar to the majority of readers and terms are not explained within the content)** Defines any terms or acronyms used within the procedure that are unfamiliar or technical, or that have a specialized meaning. Terms and acronyms should be listed in alphabetical order. If five or more acronyms are listed, they should be listed in alphabetical order at the beginning of the definitions.

**RATIONALE (required)** The rationale provides a brief description of events, or the legal, regulatory, financial or operational circumstances, or changes which resulted in the development of the procedure. Generally three to five sentences.

**RELATED STATUTES, POLICIES, REQUIREMENTS, OR STANDARDS (at least one specific citation required)**

- a. A list of related UT System Administration policies, standards, and UT System Regents' Rules and Regulations that are implemented by the procedure, with website links.
- b. A list of "Other Policies and Standards", including internal or external related laws, regulations, rules, policies, or standards that provide the legal and/or policy basis for the procedure, with website links.

**APPENDICES (N/A allowable)** Appendices contain informational material that is helpful, but not required for completion of procedural steps.

**CONTACTS (required)** Directs questions or requests for exceptions to the procedure to the sponsoring department or to the offices responsible for implementation, enforcement, or assistance. Provides telephone numbers, email addresses, and URLs, where appropriate, and any non-standard

business hours. Contacts should be listed in alphabetical order according to subject.

WEBSITE ADDRESS FOR THIS PROCEDURE (required) Assigned by Business Affairs Administrative Information Management department (aim@uta.edu) during the procedure publication process. (This address is subject to change.)

C. Follow the Format for Creating or Revising a Form or Exhibit

An outline template is available for use in writing a new or revised form or exhibit. Refer to Forms and Tools/Online Processes section of this procedure for a link to the template.

A new or revised draft should follow the format requirements as specified below. NOTE: each form should support and be referenced in at least one documented university procedure. If no procedure is supported by the form, Business Affairs Administrative Information Management staff will follow up with the form owner to initiate development of the procedure.

1. Complete the **Required Elements** for a form as follows:

- a. Form Header - The University of Texas at Arlington, centered on Line 1 above the title line. A second line under the title can be added for clarification if needed.
- b. Form Number - Form - XX on Line 1, far right margin.
- c. Origination/Revision Date - (2 digit day, Complete Month, 4 digit year) Line 2, far right margin.
- d. Standard Footnote - If a form requires information to be entered pertaining to an individual, then the footnote as shown below is required at the bottom of the form. Exhibits only provide information and do not require the collection of data; therefore, exhibits do not require the footnote.

You may be entitled to know what information UT Arlington collects concerning you. You may review and have UT Arlington correct this information according to procedures set forth in UT System Administration UTS139. The law is found in sections 552.021, 552.023 and 559.004 of the Texas Government Code.
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- e. Restricted Use of Social Security Numbers - The use of Social Security Numbers on forms and exhibits is prohibited. Social Security Numbers may not be requested on forms nor may they be displayed on exhibits. Exceptions are allowed on forms only when there is a legally acceptable reason for requesting Social Security Numbers and when the form contains wording that cites the law allowing the collection or use of a Social Security Number. UT System policy [UTS165 Appendix 4](#) provides pre-approved text that can be used when a Social Security Number is legally required on a form. Appendices 2 and 3 provide an overview of federal and state laws that require the use or collection of

Social Security Numbers. Forms that require the collection of Social Security Numbers must include one of the examples in Appendix 4. If there is no example provided by UTS165 Appendix 4 that adequately describes the reason for requesting a Social Security Number on a form, contact Business Affairs Administrative Information Management. Exhibits displaying Social Security Numbers will not be published by Business Affairs Administrative Information Management.

- f. Business Affairs Administrative Information Management may make recommendations for edits to the format or the content of university forms when opportunities to improve effectiveness and efficiency are identified.
2. Forms that are available from and maintained by entities other than UT Arlington are referenced and linked within related procedures. Should an exception be granted, the owner will assume responsibility for notifying Business Affairs Administrative Information Management when the posted version requires updating.
    - a. A form is not an article, memo, table, presentation, or picture. A form is not a procedure; however, it supports a procedure by collecting and transferring information required for the completion of a procedure.
    - b. Imbedding of website links into forms is contrary to the policy of Business Affairs Administrative Information Management.
    - c. Imbedding of forms into procedures or on other sites instead of providing the link to the official version of the forms found in the forms index is contrary to the policy of Administrative Information Management. Only the official version is updated and maintained by Business Affairs Administrative Information Management.

3. Prepare Exhibits to Support Purpose

Exhibits consist of images of recorded information that provide clarifying information. They do not require completion of data nor do they become transactional records. Exhibits do require numbers and headings. Exhibits that display Social Security Numbers will not be published by Business Affairs Administrative Information Management.

- D. The Origination and Revision Dates for Procedures, Forms, and Exhibits Establish the Dates that New or Revised Procedures, Forms, or Exhibits are Officially Approved.

The procedure, form, or exhibit version is important in defining the operational or procedural requirements that are in effect on and after the date specified as the procedure or exhibit origination/revision date.

1. Revision dates will always be updated for Category A changes.
2. Revision dates may be updated for Category B changes. Category B changes that do not require any of the user community to change their policies or procedures do not require revision of the effective date.

3. Revision dates are not updated for Category C changes.

## **Section II. Finalize Draft and Complete Reviews and Approvals**

- A. Business Affairs Administrative Information Management Department Reviews the Draft

The draft is reviewed for completeness and format and the level of change is determined (Category A, B, or C).

1. **Category A: Additions, Deletions, or Changes to Method or Processes**

Examples include, but are not limited to:

- Initial publication of a procedure, form, or exhibit
- Addition of a new form or exhibit reflecting new requirements
- Deletion of a reporting requirement
- Reassignment of sponsoring or participating department responsibility

2. **Category B: Changes to Procedure or Form Format**

Examples include, but are not limited to:

- Addition to table of contents
- Changes to naming protocol for titles
- Changes required by evolving internet processes or software

3. **Category C: Changes Involving Corrections to Existing Text or Repair of Existing Features**

Examples include, but are not limited to:

- Correction of typographical errors
- Changes to referenced officers' titles
- Re-establishing broken links or eliminating a "redirect" link

- B. Business Affairs Administrative Information Management Assigns Numbers to new UT Arlington Procedures, Forms, and Exhibits.

- C. Business Affairs Administrative Information Management Oversees the Preparation of the Final Draft

The draft is reviewed and prepared for conversion into a website compatible document which meets standard format requirements. The draft is also reviewed for grammar,

spelling, and organization. If necessary, edits may be recommended by Business Affairs Administrative Information Management; however all edits must be approved by the author. Proposed edits may be based on reviews of current information in applicable policies, laws, and other related materials.

- D. Approval Routing is Dependent on the Category of Changes Being Applied.
1. Category A changes and new procedures, forms, and exhibits, are reviewed and approved by the author, the appropriate department directors or managers, and the appropriate organization vice presidents or equivalents, or their designees. Designees may not be persons who are already required to review and approve. New procedures require the signing of an approval document by the vice president of the authoring department.
  2. Category B changes are reviewed and approved by the author, appropriate department directors or managers or their designees. Designees may not be persons who are already required to review and approve.
  3. Category C changes are reviewed and approved by the author.
- E. New and Revised Procedures, Forms, and Exhibits Become Effective when final Approval is Obtained.

When revisions require specific employees to change their procedures, compliance will be expected after effective notification is completed.

### **Section III. Publish New or Revised Procedure, Form, or Exhibit**

- A. A Procedure, Form, or Exhibit is Considered Published when the new, or Revised, Version Becomes Available in the Appropriate index. Access to published procedures, forms, and exhibits listed in the procedures index and the forms and exhibits index is restricted to individuals with a NetID.
- B. Copies of and Excerpts from Official Versions of Procedures, Forms, and Exhibits are NOT Maintained by Business Affairs Administrative Information Management. If used, they must be kept current and in line with official versions by the owner of the copy or excerpt. An excerpt will be allowed only if the source is cited and the excerpt is enclosed in quotation marks.
- C. Only one Official Version of a Procedure, Form, or Exhibit can be Published at any Time.

Business Affairs Administrative Information Management will maintain a publication record for each procedure, form, and exhibit. Records will include all levels of approval obtained for each initial publication and revision publication.

- D. A Final Approved "Change" to Retire a Procedure, Form, or Exhibit will be Processed.

Retired procedures, forms, and exhibits publication records will be retained for current fiscal year plus three years.



- E. Business Affairs Administrative Information Management will Maintain Prior Versions of Procedures, Forms, and Exhibits

Prior versions will be maintained to allow retrieval of a particular version of a procedure, form, or exhibit for three years after the old version is replaced.

- F. Business Affairs Administrative Information Management will Maintain a Record of all Publication Approvals.

A record of approvals is maintained for procedures, forms, and exhibits. If Business Affairs Administrative Information Management is requested to replace a procedure, form or exhibit with an earlier version, an update to the revision date is required as part of the publication process.

#### **Section IV. Complete Appropriate Notifications**

The amount of change notification that is provided to the user community when a new or revised procedure, form, or exhibit is published, will depend upon the nature of the changes, urgency of implementation date, and severity of non-compliance. Notification may be done by the author or Business Affairs Administrative Information Management, by email distribution and/or online university publication.

- A. **Category A changes:** Appropriate members of the user community shall be notified for Category A changes. Broadcast notification to "Admin List Serve" and "\*\*DEFINE List Serve" audiences and selectively targeted audiences is also warranted. Additional methods of notification may be employed if needed. Specific descriptions of changes to the revised procedure, form, or exhibit should accompany the notification.
- B. **Category B changes:** User community may or may not be notified for some Category B changes at the discretion of the author of the revised procedure, form, or exhibit. Broadcast notification may or may not be utilized. Generic descriptions of changes should be sufficient.
- C. **Category C changes:** User community should not be notified by broadcast for Category C changes. (If the changes were initiated in response to a user request, that user should be notified as a courtesy.) These types of changes are not substantive and may be hard to locate in the newly published revised version.
- D. **Note:** The Assignment of the Correct Category of Change is Important.

Accompanying notifications for new and revised procedures, forms, and exhibits are critical to promoting compliance in the user community. Employees who are required to comply with revised information in procedures, forms, and exhibits cannot be held accountable for compliance until revisions have been effectively communicated.

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#### **FORMS AND TOOLS/ONLINE PROCESSES**

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**Attachment 1** - UT Arlington *Procedure Template* ([Form 13-4](#)). Specifies format and location requirements for exhibit numbers, origination/revision date, and standard footnote. (Not all exhibits require standard footnote, refer to the Procedures Section for specifics.)

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## DEFINITIONS

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**Admin List Serve:** A list of all UT Arlington department administrator contacts. Used for email notifications of communications affecting UT Arlington departments.

**Approved:** A procedure, form, or exhibit is "approved" by the author of the change, the appropriate department directors or managers, and/or the appropriate vice president or equivalent, or designees. A designee cannot be the author. New procedures require the signing of an approval document by the vice president for the authoring department.

**\*DEFINE: (Departmental Financial Information Network)** The computerized accounting system used in UT Arlington.

**\*DEFINE List Serve:** A list of all UT Arlington department \*DEFINE administrator contacts. Used for email notifications of communications affecting UT Arlington \*DEFINE administrators

**Exhibit:** An article, memo, table, presentation, picture, or any other type of illustrative information, except for official forms, designed by a UT Arlington author and referenced in UT Arlington procedures.

**Form:** A document designed to support a university procedure by collecting data to be processed and forwarded through the procedural steps.

**Form or Exhibit Number:** A unique tracking number assigned by Business Affairs Administrative Information Management to a UT Arlington specific form, article, memo, table, picture, or any other type of illustrative information, designed by a UT Arlington author and referenced in UT Arlington procedures.

**Origination Date:** The date that a new procedure, form, or exhibit is approved for publication.

**Policy:** A university policy is a written plan or general course of action, having broad application throughout The University and intended to govern the actions of UT Arlington's employees, faculty, students, visitors, and others who come in contact with UT Arlington. Policy helps ensure compliance with University of Texas System Regents' Rules and Regulations, University of Texas System policies and all related federal and state laws, rules, and regulations as they apply to The University of Texas at Arlington and its missions. University procedures support and implement university policies.

**Procedure:** Procedures provide specific directives in procedural format. Procedures are the requirements needed to implement and support UT System policies and provide interpretations where issues are not covered or are unclear in policy.

**Published:** A published procedure, form, or exhibit is the version approved and available on UT Arlington websites maintained by Business Affairs Administrative Information Management.

**Revision Date:** The revision date defines the first day that the published revision of a procedure, form, or exhibit became effective.

**Sponsoring Office:** The office or department within UT Arlington responsible for authoring new and revised procedures, forms, and exhibits.

**User Community:** The aggregate population at UT Arlington expected to comply with the procedural requirements of a procedure, form, or exhibit. This population will vary, dependent upon coverage specified.

## RATIONALE

This procedure provides the standard for converting existing procedures, forms and exhibits into specified formats, and for publishing new procedures, forms and exhibits. The format specified for procedures is based upon the UT System Administration policy format finalized in March of 2007.

## RELATED STATUTES, POLICIES, REQUIREMENTS OR STANDARDS

UT System Administration Policies and Standards	Other Policies and Standards
<a href="#">Regents' Rules and Regulations, Rule 20201, Presidents</a>  <a href="#">University of Texas System Policy UTS165, UT System Information Resources Use and Security Policy</a>	<i>Institutional Policy and Informational Documents</i> ( <a href="#">HOP ADM 1-300</a> )

## APPENDICES

**Appendix 1 - [UT System Disposition Table](#)**, including policies listed by original policy number and name corresponding to their new policy number and location.

## CONTACTS

If you have any questions about Procedure 13-4, *Creation and Maintenance of UT Arlington Procedures, Forms, and Exhibits*, contact the following departments:

Subject	Office Name	Telephone Number	Email/URL
All topics in Procedure	Business Affairs Administrative Information Management	817-272-0222	<a href="http://www.uta.edu/aim">http://www.uta.edu/aim</a>
Website	Business Affairs Administrative Information Management	817-272-0222	<a href="http://www.uta.edu/aim">http://www.uta.edu/aim</a>

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WEBSITE ADDRESS FOR THIS PROCEDURE

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<http://www.uta.edu/policy/procedure/13-4>