

BOT mtg.

Approved by: Stephen H. Hess, Chief Information Officer, February 11, 2011

Approved by: Arnold Combe, Vice President Administrative Services, February 11, 2011

Memorandum

To: Stephen Hess, Chief Information Officer
Arnie Combe, VP for Administrative Services

From: Kevin Taylor
Jeff West

Date: February 11, 2011

RE: Revised University Policy 4-005 (Use of Personal Telecommunications Services) and reassignment of unedited text to Policies 3-100 and 3-234.

Attached for your consideration and approval is a proposal for a revised University Policy 4-005, Use of Personal Telecommunications Services. The Policy is accompanied by revised rules that reflect the policy change as well as forms to implement processes defined in the policy and rule.

The revision of policy 4-005 also includes the reassignment of paragraphs that are not related to personal telecommunications services. Policy 4-005 Paragraphs III A-F are being reassigned as follows:

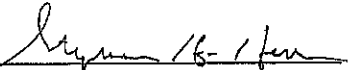
Paragraphs III A-~~C~~^E are being added to Policy 3-234, Key Policy as shown on the attached pages.

Paragraph III F is being added to Policy 3-100, University Procurement as shown on the attached pages.


These policy revisions have been reviewed by the University Institutional Policy Committee (IPC), the Information Technology Council, the Office of General Counsel, the campus Information Technology Council, the President's Cabinet, and various stakeholders identified by the IPC. Policy 4.005 and its accompanying rule and forms were developed by a committee consisting of members from UIT, Office of Planning and Budget, Financial and Business Services, Human Resources, University Hospitals and Clinics, and University Health Sciences, School of Medicine.

If you approve of this proposal, it will then be forwarded to the Academic Senate Executive Committee for its review. It will be recommended that the Executive Committee classify this as a Policy that does *not* "directly or significantly affect the University's academic missions," under U-Policy 1-001, and therefore should be treated as an item for the "information" rather than the debate and approval of the Academic Senate. It is proposed that this Policy become effective upon approval by the Board of Trustees.

Approved:



Stephen H. Hess, Chief Information Officer, February 11, 2011



Arnold Combs, Vice President, Administrative Services, February 11, 2011

{Trustees: For your convenience, we provide here a "clean" copy of what is proposed as the revised version of the Policy. Then immediately following, we provide a "marked up" version showing you in detail what specific changes are being proposed from the existing Policy to this newly revised version. You'll probably find it best to just focus attention on the first 'clean' version.}

DRAFT

Policy 4-005: Use of Personal Telecommunications Services

Revision 4 [Effective date: upon final approval]

- I. Purpose & Scope
 - A. The purpose of this policy is
 1. To outline the appropriate use of University owned telecommunications systems,
 2. To establish methods by which an employee may be reimbursed for employee owned cellular phones and services used in conducting the business of the University.
 - B. This policy applies to all employees of the University of Utah
- II. Definitions
 - A. Cellular Access Plan means a commercially provided cellular service offering that may include voice, text, and data services.
- III. Policy
 - A. The university owned telephone systems and equipment are provided for the conduct of official University business. Use of these facilities for personal business should be kept to a minimum.
 1. Long Distance and other Toll calls for personal business made through the university telephone system should be charged to the individual's home telephone or personal calling card. If this is not possible, a record of private calls made at university expense must be kept and repayment must be made upon receipt of the department's telephone bill. Supervisors are responsible to prevent abuse and ensure that repayment is made.
 - B. If an employee requires a cellular phone in order to perform his/her duties, the employee, with approval of the department head, may obtain a personal cellular access plan and cellular phone and may be reimbursed from the University for the business use of such services. The reimbursement must be justified by business requirements which necessitate the use of a cellular telephone to perform official university business where such business

cannot be accommodated by the use of a landline phone, pager, or other less expensive communication device. The cellular telephone is owned by the employee and may be used for personal business. The approved reimbursement amount must be based on business usage. The employee may, at their own expense, elect to purchase additional service(s). Approved Procedures must be followed when providing a reimbursement for this purpose [link to approved procedures].

1. The employee must provide documentation of business use and expense in the form of a billing statement from the employee's cellular service provider. Such documentation must be provided annually.
 2. The employee's supervisor will maintain the documentation of business use and expense, and will perform an annual review of the documentation provided by the employee to ensure that the reimbursement amount does not exceed the amount necessary to reimburse the employee for the business use of the cellular services.
- C. University departments may elect to purchase and own cellular telephones for employee business use, if there is a business reason to do so. Examples of business reasons that may justify department ownership of cellular plans and cellular telephones include but are not limited to:
1. A department may determine that acquiring pooled or shared minute plans may result in savings to the department.
 2. Departments may have a need for temporary cellular phone use such as assignment of on-call responsibilities.
 3. University owned cellular telephones should not be used for more than de minimis personal business. Any personal use resulting in incremental charges shall be reimbursed to the University. Employees who misuse University cellular telephones may be subject to disciplinary action.
- D. Employees shall not use cellular telephones to conduct the business of the University of Utah while operating a motor vehicle. This includes telephone conversations, reading or responding to email or text messages, browsing the world wide web, social networking, or any other distracting or dangerous behavior.

IV. Rules, Procedures, Guidelines, Forms and other related resources

A. Rules

Rule 4-005C Reimbursing Employee Mobile Communication Costs

B. Procedures

C. Guidelines

D. Forms

Cell Phone Reimbursement Form

E. Other related resource materials

V. References

VI. Contacts:

Policy Officer:

Acting as the Policy Officer, the Chief Information Officer is responsible for representing the University's interests in enforcing this policy and authorizing any allowable exceptions.

Policy Owner:

Acting as the Policy Owner, the Director of Planning and Policy/Office of Information Technology is responsible for answering questions and providing information regarding the application of this policy.

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801-585-3314

VII. History

Renumbering: Renumbered as Policy 4-005 effective 9/15/2008, formerly known as PPM 2-

70.

Revision History:

Current version: Revision 4 Effective date [upon approval ___2011]

Approved: _____

Legislative History of Revision 4 [link]

Earlier versions:

Revision 3: Effective dates December 12, 2005 to ___2011. Approved: Board of Trustees November 15, 1996. Editorially revised: December 12, 2005

{Trustees: this is the 'marked up version' showing in detail how the Policy is proposed to be changed from old to new.}

Policy 4-005: Use and Security of Property of Personal Telecommunications Services Revision 34
[Effective date: upon final approval]

I. Purpose & Scope

To outline the university's policy toward the use of university property and the manner in which it should be safeguarded against possible loss or misuse.

A. The purpose of this policy is

1. To outline the appropriate use of University owned wired and cellular telephone services and.

2. To establish methods by which an employee may be reimbursed for employee owned cellular phones and services used in conducting the business of the University.

B. This Policy applies to all employees of the University of Utah.

II. References

Policy 1-006, Conflicts of Interest

Policy 3-234, Key Policy

II. Definitions

A. Cellular Access Plan means a commercially provided cellular service offering that may include voice, text, and data services.

III. Policy

A. ~~Administrative, college, and departmental offices of the university generally are open to the public from 8:00 a.m. to 5:00 p.m., Monday through Friday. Certain offices and departments are open at other times to meet particular needs.~~

B. ~~It is the responsibility of all personnel using buildings after regular hours to see that lights are turned off in the rooms they are vacating and that office doors and outside doors are secured.~~

C. ~~The Security Officer will investigate night use of all buildings to ascertain whether persons in the buildings are so authorized.~~

D. ~~Personnel should use all precautions in maintaining the highest level of security to protect university property.~~

E. ~~To facilitate the security of university buildings and property, keys to offices and buildings may be obtained from Plant Operations Key Shop upon written request from dean or department head. No deposit is required. Deans and department heads are responsible for all keys issued to their department and should assure that keys are returned whenever personnel leave the employment of the university.~~

F. ~~All property, supplies, and services purchased with university funds should be used only in the operation of the university. They may not be used for personal business, except in circumstances explicitly allowed by university policy. Supervisors are responsible to ensure university policy is observed.~~

G.A. The university owned telephone systems and equipment are provided for the conduct of official University business. Use of these facilities for personal business should be kept to a minimum.

1. Long Distance and other Toll calls for private business made through the university telephone system should be charged to the individual's home telephone or personal calling card. If this is not possible, a record of private calls made at university expense must be kept and repayment must be made upon receipt of the department's telephone bill. Supervisors are responsible to prevent abuse and ensure that repayment is made.

2.B. If an employee requires a cellular phone in order to perform his/her duties, the employee, with approval of the department head, may ~~will~~ obtain a personal cellular access plan and cellular phone and may ~~will be reimbursed~~ ~~receive an allowance~~ from the University for the business use of such services ~~via additional compensation, within approved limits.~~ The reimbursement ~~additional compensation~~ must be justified by business requirements which necessitate the use of a cellular telephone to perform official university business where such business cannot be accommodated by the use of a landline phone, pager, or other less expensive communication device. The cellular telephone is owned by the employee and may be used for personal business. The approved reimbursement ~~allowance amount~~ must be based on business usage ~~requirements.~~ The employee may, at their own expense, elect to purchase additional service(s). Approved Procedures must be followed when providing a reimbursement ~~additional compensation~~ for this purpose [link to approved procedures].

1. The employee must provide documentation of business use and expense in the form of a billing statement from the employee's cellular service provider. Such documentation must be provided annually.
2. The employee's supervisor will maintain the documentation of business use and expense, and will perform an annual review of the documentation provided by the employee to ensure that the reimbursement amount does not exceed the amount necessary to reimburse the employee for the business use of the cellular services.

3.C. University departments may elect to ~~shall not purchase and~~ ~~or own~~ cellular telephones for employee business use, if there is a business reason to do so. ~~except in those circumstances where employee ownership of the cellular plan and telephone is not practicable as determined by the department head and only with approval of the Cognizant Vice President or Dean.~~ University-owned cellular telephones provided for the conduct of official business shall not be used for personal business. Examples of business reasons that may justify department ownership of cellular plans and cellular telephones include but are not limited to:

1. A department may determine that acquiring pooled or shared minute plans may result in savings to the department.
2. Departments may have a need for temporary cellular phone use such as assignment of on-call responsibilities.
3. University owned cellular telephones should not be used for more than de minimis personal business. Any personal use resulting in incremental charges shall be

reimbursed to the University. Employees who misuse University cellular telephones may be subject to disciplinary action.

- ~~a. IRS published authority defines requirements for adequate substantiation of the business use of university-owned cellular telephones. Unsubstantiated cellular use may be deemed personal use and therefore considered wages subject to employment taxes.~~
- ~~b. Adequate substantiation of business use includes the time, date, place, business purpose, and amount of the expense. Substantiation of business use should be in the format of a record or log made at or near the time the telephone call was placed.~~
- ~~c. An employee shall repay the University for incoming and outgoing personal use of a university-owned cellular phone. The reimbursement amount shall include direct charges for personal use and a pro-rata share of monthly fees and services. Supervisors are responsible to prevent abuse and ensure that repayment is made.~~
- ~~d. If a department or individual user is not able or willing to comply with IRS substantiation requirements for University owned cellular services and devices, the department or individual must use the individual ownership option described in paragraph 7.b.~~

H.D. Employees shall not use cellular telephones to conduct the business of The University of Utah while operating a motor vehicle. This includes telephone conversations, reading or responding to email or text messages, browsing the world wide web, social networking, or any other distracting or dangerous behavior.

IV. Rules, Procedures, Guidelines, Forms and other related resources

- A. Rules
 - ~~4/22/05 Cell Phones and other Electronic Devices~~
 - ~~11/12/07 Use of Cell Phone~~
 - Rule 4-005C Reimbursing Employee Mobile Communication Costs**
- B. Procedures
 - Cell Phone Allowance Agreement**
- C. Guidelines
- D. Forms
 - Cell Phone Reimbursement Form**
- E. Other related resource materials

V. References

VI. Contacts:

Policy Officer:

Acting as the Policy Officer, the Chief Information Officer is responsible for representing the University's interests in enforcing this policy and authorizing any allowable exceptions.

Policy Owner:

Acting as the Policy Owner, the Director of Planning and Policy/University Information Technology is responsible for answering questions and providing information regarding the application of this policy.

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801-585-3314

Policy Owner: Questions about this Policy and any related Rules, Procedures and Guidelines should be directed to the Director of Planning and Policy/Office of Information Technology.

Policy Officer: Only the Chief Information Officer or his/her designee has the authority to grant exceptions to this Policy.

VIII. History

Renumbering: Renumbered as Policy 4-005 effective 9/15/2008, formerly known as PPM 2-

70.

Revision History:

Current version: Revision 4 Effective date [upon approval] 2011

Approved:

Legislative History of Revision 4 [link]

Earlier versions:

Revision 3: Effective dates December 12, 2005 to 2011. Approved: Board of Trustees November 15, 1996. Editorially revised: December 12, 2005

Rule 4-005C

Reimbursing Employee Mobile Communication Costs

Reference Policy 4-005 III.B

- I. Employee owned cellular plans and devices with reimbursement of business expenses from the University.
 - A. Department managers must determine what type of plan or level of service is required in the performance of an employee's duties. The employee is responsible for obtaining a phone and monthly plan that, at a minimum, meets the level of service required by the department. Plans may include data and texting services if those services are required to perform the employee's job responsibilities. Because the telephone is owned by the employee, it may be used for personal and business use, but must be available for the performance of responsibilities as designated by the manager. The employee may obtain a more robust plan if needed for personal use, but will only be reimbursed for the amount agreed upon for business use. Bills for the cellular plan and device are the responsibility of the individual, not the department.
 - B. Department managers may select a monthly reimbursement amount in consultation with the employee using the form: Cell Phone Reimbursement Form. The amount should reflect the typical, month-to-month costs incurred for business usage of the phone. If extraordinary business use results in a billed amount that is significantly more than the reimbursement amount, additional reimbursement may be sought through normal expense reimbursement procedures.
 - C. The department may reimburse the business costs for the activation of a cellular service plan and the purchase or upgrade of a communication device, if such purchase or upgrade is necessary for the performance of the employee's job duties. The department may also reimburse the employee for the replacement of aging or non-functioning devices, provided the employee's job responsibilities continue to require the use of a cellular device at the time of replacement. The employee will own the device. Reimbursements for the cost to purchase or upgrade a communication device should be sufficient to purchase a device required for the performance of the employee's duties. The employee may select a more expensive device but will not receive reimbursement in excess of what is required to perform his/her duties. Business costs for service activation and the purchase of cellular devices is calculated using the same instructions in paragraph B.
 - D. Because the entire University contribution toward the communication device and plan is a reimbursement of business expenses, no detailed documentation of personal or business calls is required.
 - E. The University reimbursement of the business cost to acquire a communication device and plan is not considered an entitlement, is not part of an employee's base salary, and may be changed and/or withdrawn by the University at any time. It will be paid in monthly installments from departmental funds as authorized by the department head.

- F. The reimbursement of the business cost of cellular plans, activation fees and purchase of a cellular device must be justified by business requirements which necessitate the use of a cellular telephone to perform official university business where such business cannot be accommodated by the use of a landline phone, pager, or other less expensive communication device.

II. APPROVAL

- A. Departments are responsible to determine the budgetary impact of this program, and to determine whether or not an employee's job requires use of cellular service. The University reimbursement of the purchase of personally owned services must be directly linked to the employee's job duties and responsibilities.
- B. Department heads are responsible for determining and approving the appropriate reimbursement amount for an employee based on the responsibilities of the employee's position. The determination should include the appropriate number of plan minutes, long distance calling options, data plans, and other plan features that are required for the performance of the employee's job responsibilities.
- C. University reimbursements for employee owned service are not to be based on a particular title or position. Use should be based on the actual job requirements of a faculty or staff member. For example, one individual with a "Computer Administrator" title may perform their work entirely in a campus office and is never on call. Another person with the same position may work entirely in the field and/or may be on call after hours. Supervisors/Managers are responsible for determining when cellular services are warranted.
- D. The employee and the manager/supervisor must sign an agreement [the reimbursement form] that justifies the business need for a cell phone which outlines the requirements that the employee will obtain a phone and service plan that meets department requirements, and make it available when needed (as specified by the department, i.e., for on call use).
- E. For employee owned devices and plans, copies of the approval forms/agreements used to process University reimbursements, as well as receipts or other valid evidence of purchase, shall be retained by the department for four years.
- F. Approval forms, agreements, telephone bills, and documentation records must be retained for internal or external audit purposes, and must be reviewed and renewed annually using the guidance described in paragraphs I.B-C. Reimbursements will be terminated for agreements that are not renewed annually.

III. RECOMMENDED VENDORS/SERVICE PLANS

- A. Departments and employees should, where possible, purchase telephone plans that are available from UIT approved vendors participating in University, state, or regional (WSCA) contracts. In most cases, contracted discounts are available to employees; however, the

employee discount amounts may vary, depending on the selected vendor. Recommended service plans may be viewed at <http://www.it.utah.edu/services/phones/cellular.php>

- B. Notwithstanding the guidance outlined in III.A., an employee may purchase any communication device or service plan that meets the job requirements specified by the supervisor or department head, regardless of price; however, the employee will be responsible for any additional expenses above the University reimbursement approved by the department.

IV. EMPLOYEE RESPONSIBILITIES

- A. The employee is responsible for the selection of and enrollment in a communication service plan. The plan must, at a minimum, cover the requirements identified by the supervisor and approved by the department head. The employee may select service from any vendor whose service meets the requirements of the employee's job responsibilities as determined by the supervisor and approved by the department head.
- B. The employee is responsible for selecting a cellular service provider that provides service coverage to meet the business need.
- C. An employee receiving a University reimbursement for cellular service must provide his/her department with the telephone number of the communication device within five working days of activation.
- D. The employee must be able to demonstrate that the monthly bill is at least the amount of the University contribution. If the monthly bill does not, on average, equal or exceed the amount of the contribution, the supervisor may adjust the amount of the contribution to reflect the lower bill amount or may discontinue the contribution to the employee's cellular service. The employee must provide a copy of his/her cellular service bill annually.
- E. The employee is personally responsible for complying with any contract entered into with a communication service provider including payment of all expenses incurred (including long distance, roaming fees, and taxes). In the event that an employee leaves the position, he/she continues to be responsible for the contractual obligations of the cellular service plan.
- F. An employee receiving a University reimbursement toward the purchase of cellular devices or services must notify his/her department head within five working days of the inactivation of communication service or of the loss or theft of the communication device.

Reassigned sections of the previous version of Policy 4-005

The sections of the current 4-005 (soon to be the new personal telecommunications policy) that need to be moved to Part 3 of the Regulations Library are currently III.A. thru F. Our recommendation is that these sections be moved to existing administrative policies where the subject matter fits the general context of the policy.

Recommendation

Move current 4-005 policy sections III.A. thru E. to Policy 3-234. These paragraphs will be placed at the beginning of Section III. of that policy. The current sub-sections of 3-234 will be re-numbered as shown below:

Wording in RED are the reassigned paragraphs III.A. thru E. from the existing version of Policy 4-005.

Policy 3-234: Key Policy

III. Policy

A. Building Security

1. Administrative, college and departmental offices of the university generally are open to the public from 8:00am to 5:00pm, Monday through Friday. Certain offices and departments are open at other times to meet particular needs.
2. It is the responsibility of all personnel using buildings after regular hours to see that lights are turned off in the rooms they are vacating and that office doors and outside doors are secured.
3. The Security Officer will investigate night use of all buildings to ascertain whether persons in the buildings are so authorized.
4. Personnel should use all precautions in maintaining the highest level of security to protect university property.
5. To facilitate the security of university buildings and property, keys to offices and buildings may be obtained from Plant Operations Key Shop upon written request from dean or department head. No deposit is required. Deans and department heads are responsible for all keys issued to their department and should assure that keys are returned whenever personnel leave the employment of the university.

B. Key Issuance

- a. Door Keys
- b. Limitations

C. Key Return

D. Responsibilities of Department of Public Safety

E. Exceptions

[So, the current III.A. thru D. now becomes III.B. thru E.]

The last reassigned section of the current 4-005 that needs to be moved is III.F.

We recommend putting it in the current Policy 3-100, as follows:

Policy 3-100 University Procurement

III. Policy

C. Limitations and Restrictions of Procurement

1. The University is prohibited from making purchases for the personal use of faculty or staff members. All property, supplies, and services purchased with university funds should be used only in the operation of the university. They may not be used for personal business, except in circumstances explicitly allowed by university policy. Supervisors are responsible to ensure university policy is observed.

2. *as written currently*

3. *etc.*

4. *etc.*