TEXAS TECH UNIVERSITY

National Wind Institute™

Operating Procedures and Policies

National Wind Institute (NWI)
Operating Procedures and Policies

Contents

Building Infrastructure Issues:

Physical Building Maintenance:

Purpose:

- To achieve effective communication with and to improve maintenance service provided by the Physical Plant's Building Maintenance/Construction section and the NWI
- To better meet the needs of NWI faculty/staff
- To create an aesthetically pleasing and hospitable environment for students, staff, faculty and visitors

Policy:

- Requests should be submitted to Patricia Bela (patricia.bela@ttu.edu) via email or hard copy containing the information below:
  - Date of request
  - Name
  - E-mail
  - Phone number
  - Service requested
  - Location
  - Detailed description of job

  Requests will be logged in the Departmental Service Request Form to track status. Once the request is completed and the NWI contact (Patricia) receives a completed/closed email from the Physical Plant work control office, Patricia will contact you to confirm the request has been completed as requested.

Key Requests:

- Requests should be sent via email to Patricia Bela *(*patricia.bela@ttu.edu). She will submit your request through the Key Management System (KMS).
- Once the key(s) is/are ready, an email from the Physical Plant Lock Shop will be sent to you as notification.
- It is your responsibility to pick up your key(s), and you will be required to present an ID in order to obtain your key(s). The Lock Shop is located on campus at the Physical Plant Building on the corner of Main Street and Flint Avenue

Emergency Event Management:

- Emergency Administrative Contact (lead): Patricia Bela
- Emergency Administrative Contact (back-up): Liz Inskip-Paulk
- Building Emergency Manager: Kacey Young (lead), Liz Inskip-Paulk (back-up).

IT Issues Management:

Requests should be submitted to Zachary Hutton (zack.hutton@ttu.edu) and cc: IT Help Central (ithelpcentral@ttu.edu) via email containing the information below:

- Date of request
- Name
- Email
- Phone number
- Service requested
- Location
- Detailed description of the job

Property Management:

The state requires that we report each year on the condition and location of all property valued at or more than $400. This would include items such as computers, servers, research equipment, etc. but would not include items of lesser value like a computer monitor. All property over $400 dollars will be issued a tag with a six digit number to be attached to the property. If you are buying new property, you can receive this tag from Patricia Bela. If you notice your current property is missing a tag, then please contact Kacey Young.

Disposal of Property:

Anytime you choose to move or dispose of property, first contact Kacey Young with the tag # and new building and room location. If property is missing, stolen, lost, or needs to be sent to surplus, please contact Kacey Young for the proper documents: Kacey.young@ttu.edu or Ph: 806-834-6797.

NWI Administrative Procedures:

Travel Policy: Application for Official In-State and/or Out of State Travel:

Purpose:

- To set forth policy governing the approval process for NWI faculty, staff, graduate and undergraduate students for official NWI travel.

Policy:

- Individuals submitting travel requests will need to follow internal protocol to ensure that deadlines for all services are met and that required information is provided by the traveler.

Traveler Responsibilities:

- Individual travel requests will need to complete the forms (see attached) and once completed, submit to Patricia Bela twenty-one (21) days prior to travel. (Tammy Pitzer will handle all DIF travel. Cynthia Barbosa will handle all NSSA Travel.)
- NWI understands that there may be cases (e.g. emergency trips or other examples) when forms may not be completed in a timely manner or at all. We are happy to accommodate your travel needs in these rare circumstances.

NWI Travel Voucher Policy:

- All required supporting documentation must be turned in to Patricia Bela within thirty (30) days of completion of trip.
- TTU will not reimburse employees for meal expenses incurred while conducting state business that does not require an overnight stay.
- Overage *per Diem* limit is based on allowable state rate; if there incurs an overage, a local FOP will be provided by the traveler to cover any overages.
- If your trip gets cancelled (e.g. weather etc.): Traveler is responsible to notify the travel preparer to cancel travel applications pending.
- Traveler is responsible for returning any travel advances (issued prior to travel) once trip has been cancelled: TTU Policy OP 79.08 requires that for trips involving advances, the signed travel voucher and receipts must be received by the travel office within fifteen (15) calendar days of the return date for university and system employees. Failure to do so may result in the loss of the privilege of receiving advances for travel.

For International Travel:

- All international travel by NWI faculty and/or staff on state business must be approved in advance by the OIA and the Chancellor (*via* Patricia Bela). A written memo justifying the use of state funds as the available source for travel funding must accompany the travel request. Once received, the request paperwork will be forwarded to the Office of the Vice President for Research for the VPR's approval.
- International travel requests must be submitted to Patricia through the appropriate administrative channels (see attached forms) at least two weeks prior to departure date. If time is critical, the request will be hand-carried by a student assistant to the appropriate office for further approval pending approval by NWI administrators.
- A printed copy of the on-line travel application form that may be used to obtain authorization for all international travel with appropriate signature lines will be pulled via Patricia Bela.
- *NOTE: For Student and Graduate Student International Travel*: the following forms are required and must be completed pending OIA approval: the "Release and Indemnification Agreement" and the "Emergency Contact Information Release". These forms may be found at the TTU International Travel webpage http://www.iaff.ttu.edu/main/InternationalTravel.asp and are required for insurance purposes.
- Lodging overages will be covered by the travel providing a local FOP; *per diem* for meals are allowed while on business travel more than one overnight stay.
- If your trip gets cancelled (e.g. weather etc.): Traveler must notify travel preparer if due to unexpected events (e.g. weather etc.)
- *Travel Advances:* the university may advance funds for travel expenses to the university employee or student only if the expenses are incurred during travel that requires an overnight stay outside the employee's designated headquarters.
    - Failure to return a travel advance within the 15-day period after the travel will result in the suspension of any further advances for that traveler until the delinquent advance has been cleared.

NWI Purchase Orders:

Purpose:

- An internal protocol has been created to ensure accuracy and efficiency in processing and submitting Purchase Orders (P.O.'s):
    - Individuals requesting P.O.'s will need to complete and submit the attached forms. Additionally, save copies of these fillable forms to your desktop to streamline future requests.
    - NWI understands that there may be emergency purchases where it may not be possible or plausible to complete these forms in a timely manner. Please know that in these rare circumstances, we are happy to accommodate your purchasing needs to the best of our abilities.

Procedure and Purchase Orders Workflow:

- Vendor will be notified by email or fax once the purchase order has completed workflow and P0# is created.
- Acknowledgement of receipt of goods or services with an email from Sciquest Techbuy serves as notification when an invoice from Vendor has been generated and ready to create a cost receipt. Notify payment.services@ttu.edu when ready to pay.

Three Way Matching:

- The university requires a three-way matching process for purchase order payments greater than $10,000.
- The university requires a three-way matching process for purchase order payments on all purchase orders using the following funds: 11, 12, 13, 14, 21, 22, and 23.
- This means that for payment to be made, a purchase order must be created, a receipt in TechBuy must be entered, and an invoice must be sent to Payment Services. Invoices may be emailed to paymentservices@ttu.edu or attached as a comment to the purchase order in TechBuy (OP 72.11).
    - *To Release Encumbered Amount*: Request to release encumbrances by sending an email request to Purchasing TTU TechBuy Support (techbuy.purchasing@ttu.edu) when P0 has been paid in full.

NWI Procurement (P-Card) Purchasing Procedure:

Purpose:

- The procurement card (or P-Card) is an acceptable purchasing method for infrequent low-dollar procurements. All P-Card transactions are required to comply with TTU OP 72.09.

Policy:

- All supporting P-Card transaction documentation (e.g. receipts, etc.) must accompany the receipt form completed with sufficient justification of the expense.
- All receipts must be handed in a weekly basis at the appropriate staff meeting (technical or administrative) and given to Dr. Daan Liang or Dr. Anna Thomas Young who will then transport to Patricia Bela. (Tammy Pitzer will handle all DIF P-cards. Cynthia Barbosa will handle all NSSA P-cards.)
- Reconciliation begins as soon as FOPs and account pools have been determined by the NWI Accountant.

- Written requests for all money moves must be sent through Angela Beikmann with the appropriate pool code and the purpose of the request prior to reconciling.
- Patricia will submit P-Card Transaction Logs to all P-Card holders on or after the 3rd day of every month.
- All supporting documentation is due to TTU Procurement Office by the 15th day of every month.

  Please see the attachment ("PCard Purchases Allowed and Prohibited") for the official list of approved/prohibited purchases at http://www.depts.ttu.edu/procurement/pcard/pcardinfo.asp

NWI Accounting Policies:

a. Details regarding the processing of **Carry Forwards**:
   - Refer to OP 62.34 for more detailed information.
   - Carry Forwards are not necessary for HEAF or multi-year FOPs.
   - The amount of Carry Forward is determined by the amount of funds available after the close of a fiscal year.
   - The Fund Balance from the ending fiscal year cannot be carried into the new fiscal year until after September 12 of the new fiscal year.

b. Details regarding the processing of **Money Moves (MM)**:
   - Written requests for all money moves must be sent to Angela Beikmann with appropriate budget pool/account pool code and the purpose of request.
   - Please complete the MM Request form (see attached) and return it to Angela Beikmann. Appropriate approvals will be obtained, if required.
   - If a money move needs to be completed for a sponsored project fund, Angela Beikmann will contact the Office of Research Accounting. Allow at least one (1) day for approval and processing.

c. Details regarding the processing of **Budget Revisions**:
   - All budget revisions must be handled/approved by Angela Beikmann.

c. Details regarding the processing of **EPAFs:**
   - Refer to OP 70 for detailed listing of procedures.
   - All NWI ePAFs for Staff/Faculty/Ph.D./Students will be processed by Angela Beikmann. (Tammy Pitzer will handle all DIF ePAFs. Cynthia Barbosa will handle all NSSA ePAFs.)
   - Before any new employee is to be hired or paperwork processed, the attached "New Hire Form" is to be completed, signed by the NWI Director or NWI Associate Director, and returned to Angela Beikmann.
   - Before any employee is to be reappointed to any position, the attached "ePAF Request Form" is to be completed, signed by the NWI Director or NWI Associate Director, and returned to Angela Beikmann.

ii. Details regarding the processing of **Deposits**:
   - Refer to OP 62.07 for detailed listing of procedures.

- Cash and/or paper checks should be given to Angela Beikmann for deposit with University Financial Services (UFS). Deposit will be made same day if received prior to 2:00 p.m., or next business day if received after 2:00 p.m.
- For wire deposits, please provide Angela Beikmann with the payer name, date and amount of the wire expected.

  For all deposits, please provide Angela Beikmann with the purpose of the funds so that the funds can be properly processed and posted to the appropriate Banner FOP.

Other Administrative Responsibilities by Individual:

- Checking the NWI email inbox on a daily basis – Patricia Bela
- Locking/Unlocking the building – Patricia Bela
- Please check the attachment ("*NWI Front Desk Duties 2014*") for an official list of duties for NWI Student Assistants (09/15)
- Opening/Closing the administrative suite – Patricia Bela (See attachment for details)

Outreach/Community Education and Tours:

Tours:

- Effective outreach to both internal and external target populations is critical to the ongoing strategic goals of the NWI and requires careful planning of multiple personnel and research locations.
- All tour requests must be made to Liz Inskip-Paulk. Approval will then be routed through multiple people. (See attachment for details.)
- Tour requests must be submitted at least fourteen (14) working days in advance of the tour date requested and are subject to availability of researchers and other personnel.

Media/Marketing/PR:

- All media/marketing/PR outreach and strategy is handled by Liz Inskip-Paulk.
- Please funnel any media/marketing/PR requests, questions or comments to Liz Inskip-Paulk where they will be handled in an appropriate and timely manner in coordination with other groups on campus (when applicable) and to ensure TTU and NWI communication policies are followed.

Social Media:

In order to maintain a coordinated public relations strategy, all updates to the web and any social media avenues (e.g. Facebook, LinkedIn, Instagram, Twitter etc.) will be funneled through Liz Inskip-Paulk. NWI staff are all tasked with developing ongoing appropriate content with final approval by Liz Inskip-Paulk.

Website:

All faculty and staff webpages will be updated to reflect current information by Liz Inskip-Paulk, including a biographic sketch about yourself (short paragraph about you following particular format).

- Additional website updates will be done as needed (i.e. new employee, employee promotion, etc.).
- Website updates are generated through requests submitted to Liz Inskip-Paulk via email (Elizabeth.paulk@ttu.edu) containing the information below:

- Name
- Recent photo (head and shoulders)
- Position title
- Primary job duties (bullet form)
- Contact info
- Phone
- Email
- Physical mailing address
- Office # and physical location

Printing/ Ordering Process for Collateral Material:

Once you have personally proofed your material(s), the following chain of approval has been developed:

1. Pat Bela (first level general review) →
2. Kacey Young → Liz Inskip-Paulk →
3. Dr. Anna Thomas Young & Dr. Andy Swift (these can be sent simultaneously) →
4. Dr. Daan Liang (final once-over before print).

- Materials must be documented as approved prior to final printing submission.

Proposal, Report, Presentation, and Manuscript Editing:

NWI affiliates who need editing of proposals, reports, presentations or manuscripts shall submit the request to Liz Inskip-Paulk with a minimum of three (3) business days to complete the task.

NWI Educational Program:

In order to promote the transfer of accurate and consistent information, it is the policy of NWI that all students seeking academic counsel be referred to their appropriate academic advisor (Kacey Young or Maggie Gilchrest). This includes (but is not limited to) information regarding student degree plans, transfer credit, graduation, change of minor, change of major, class permits/waivers, concurrent enrollment, and dropping/adding/withdrawal of courses.

Advisor Training Requirements (to be completed and documented prior to interacting with students):

- FERPA Training
- Banner Trainings #1 and #2
- Advising protocol and CAS standards training
- Xtender training
- GradesFirst training
- Degree Works training
- SSC training
- Athletic/PTD training
- ServicePlus
- Have a completed signed confidentiality statement on file in their hiring supervisor's office

New Advisors:

The following must be completed and documented the following before being a given a student caseload:

- Cohort training
- Hold training
- Permit training
- Time ticket training
- Site Code training
- End of Term Processing training

Academic Integrity:

- It is the policy of the NWI academic team that any student who engages in academic dishonesty or displays a lack of academic integrity shall receive a final grade of “F” for the course in question.
- Any student who is bought before the academic team a second time for academic dishonesty will be expelled from the Wind Energy program indefinitely.
- NWI professors may also choose to submit the issue to the Office of Student Conduct (Ph: 806-742-1714) at any time.

Policy Revisions/Changes:

NWI policies and procedures will be reviewed each year on an annual basis and changes assessed at that time. Amended policies and procedures will need to be approved by Dr. Anna Thomas Young and Dr. Daan Liang. Should you have a request for a change, please e-mail nwi@ttu.edu.

NWI Policies on FLSA

Overview

The Fair Labor Standards Act (FLSA) is a federal law administered by the Department of Labor (DOL) that regulates employment rules such as minimum wage, the rules for determining eligibility for overtime and how overtime is paid. Under the FLSA, employees are entitled to pay at the rate of one and a half times the employee's regular hourly wage for all hours worked in excess of 40 in a given workweek, unless that employee falls within one or more of the white collar exemption statuses.

Changes

Upon request from federal administration, the DOL has amended the rules that pertain to the eligibility to be exempt from the payment of overtime. This new rule changes the minimum salary an employee must be paid to be considered exempt from overtime to $47,476 per year or $913 week per week. This affects all employers who have more than 50 employees, not just Texas Tech University.

The Federal Fair Labor Standards Act (FLSA) determines whether employees are subject to or exempt from overtime provisions. If employees are non-exempt, they must receive overtime pay for working more than 40 hours a week

When non-exempt employees work over 40 hours during their scheduled workweek, they are entitled to time-and-a-half pay for all hours actually worked in excess of 40 hours. All overtime for non-exempt employees should be approved in advance by their supervisor. The Exempt vs. Non Exempt Checklist will help determine if the position is eligible for an FLSA exemption.

You can check an employee's job title in the TTU Pay Plan to determine if the job is exempt or non-exempt.

Nonexempt Employees

As a nonexempt employee, you will be paid twice per month based on the following pay periods and pay dates. If the pay date falls on a weekend or holiday, nonexempt employees will be paid on the last work day prior to the weekend or holiday.

Pay Period	Pay Date
1st - 15th of the month	25th of the month
16th - last day of the month	10th of the following month

Although your annual pay will not be reduced as a result of the change to nonexempt, paycheck amounts will fluctuate from pay period to pay period based on the number of hours worked in that pay period.

The 2016 and 2017 calendar year pay periods and pay dates are posted for all employees to view. These calendars are located on the front page of the payroll website at www.payroll.ttu.edu.

The following link will take you directly to the calendars:
www.depts.ttu.edu/payroll/pay-schedule/index.php

Reporting Hours Worked

WebTime Entry will be the time keeping systems in which nonexempt employees will use to report hours worked. Your supervisor will direct you on which system to use.

WebTime Entry system users must have timesheets completed, submitted and approved by the supervisor by 6:00 pm (CST) on the second business day after the end of the pay period.

Recommendation: Put reminders of pay period deadlines for timesheet submissions on your calendar to make sure your timesheets are completed, submitted, and approved on time to avoid a delay in payment.

Additional information on how to access WebTime Entry to report hours worked can be found at the following link:
WebTime Entry Guide

IMPORTANT: Employees who do not submit their timesheets for approval by the deadline will not be paid on the normal on-cycle payroll. If this happens to you, you will need to contact your department administrator and have them submit a manual check request.

All manual check requests received by Payroll & Tax Services by Friday at 5pm (CST) will be paid the following Friday via paper check. It is extremely important to submit your timesheet for approval on time to avoid this issue.

Manual checks for the December 1st-15th pay period will not pay until January 6, 2017, due to the Winter Break. It is important to make sure your time is completed, submitted and approved before the deadline to avoid this delay in payment.

Reporting Overtime

Employees who **work** in excess of 40 hours in a workweek are entitled to pay at the rate of one and a half times the employee's regular hourly wage for all hours worked in excess of 40 in a given workweek.

Employees who report a combination of leave time (sick, vacation, holiday, emergency, etc.) and hours worked in excess of 40 hours in a given work week will be paid for all hours at the regular hourly rate.

If a workweek is split between two pay periods, overtime pay will be paid to the employee with the second payroll period pay check.

The Texas Tech University workweek is Sunday 12:01 am to Saturday, 12:00 am (midnight).

Travel

https://www.depts.ttu.edu/hr/FLSA/documents/FLSA16TravelPay.pdf

Frequently Asked Questions

https://www.depts.ttu.edu/hr/FLSA/FAQGen.php

Checklist for November 2016

1. Open your WebTime Entry timesheet on your first working day for the pay period of November 1st-15th. If you are unable to access your timesheet, send an email to webmaster.payroll@ttu.edu. and provide your name, R number, and the name of your time sheet approver. Payroll will research the issue to get you access to your timesheet as soon as possible.
2. Review the payroll calendar to understand the pay periods and the pay dates associated with those pay periods.
3. Review direct deposit information
4. Review W4 information
5. Put reminders on your calendar about payroll WebTime Entry timesheets deadlines to avoid a delay in payment.

Implementation

Date	Implementation
October 12, 2016	Transition begins in Human Resources, Budget and Payroll
November 1, 2016	Employees begin reporting hours worked in WebTime entry. Departments should review HR 121 reports to ensure transition was correct.
November 3, 2016	Last exempt leave report due to Payroll Services
November 17, 2016	WebTime Entry Timesheets are due to Payroll Services by 6:00pm.
November 23, 2016	1st non-exempt payroll date for pay period 11/1 to 11/15

Appendix A

OP 70.06: Employee Working Hours https://www.depts.ttu.edu/opmanual/OP70.06.pdf

OP 70.17: Overtime https://www.depts.ttu.edu/opmanual/OP70.17.pdf

Additional Resources:

FLSA Overview and Summary of Final Rule

FLSA Overtime Final Rule and Higher Education

Guidance for Higher Education

Department of Labor Wage and Hour Question and Answer

Department of Labor Wage and Hour Division Website

FLSA Hours Worked Advisor

U.S. Department of Labor Fact Sheet #22

U.S. Department of Labor Hours Worked Regulations

Attachments A: Front Desk Procedures:

General Office Opening Procedures (to be done first thing M-F):

1. Front reception area should be covered at all times.
2. Clean and organize front desk.
3. Greet and meet people and students and direct them where needed.
4. Distribute incoming/outgoing mail at 10:00 a.m. daily.
5. Restock printers and fax machine with paper: printers and copier machines daily in Suites 103 and 102 and front reception area.
6. Please check toner usage in the main suites 103 and suite 102. Replace with new cartridge if levels are low.
7. Prepare and mail any documents as needed.
8. Assist administrative staff – please be proactive!
9. Break Room – turn off coffee pot at end of the day, empty out used filters, and wipe down break room counters.
10. Conference Room 107 – check fax machine daily and restock with paper.
11. Straighten conference room chairs and generally tidy the room.
12. Lock all exit doors on 1st floor at 5 p.m.

Daily Closing Procedures (to be done last thing M-F):

1. Coffee pot turned off and coffee carafes washed and cleaned.
2. TV in reception area turned off.
3. Lock all exit doors.
4. Lock conference room 107 door from outside.
5. Close door to suite 103 if everyone has gone.
6. Close door to suite 102 if everyone gone.

Attachment B: Front Desk Procedures: Telephone Duties:

Front Desk Telephone Duties:

Answer incoming calls for the Institute ("*Good morning/afternoon. This is the National Wind Institute at Texas Tech University. How may I help you?*") and transfer accordingly:

- Telephone Numbers/Contact Info:*Administration:*
    - Dr. Daan Liang – 103B
    - Dr. Anna Thomas Young – 103C
    - Dr. Andy Swift – 101
- *Accounting Office:*
    - Angela Beikmann - 117D
- *Communications/Marketing:*
    - Liz Inskip-Paulk – 105
- *Education:*
    - *Wind Energy Advising Office* - Suite 106:
        - Kacey Young – 106A
        - Maggie Gilchrest– 106B
    - *Wind Energy Instructors' Office* - Suite 102:
        - Dr. Carsten Westergaard – 102B
        - Dr. Chris Pattison – 102C
        - Dr. Archie Ruiz-Columbie – 102D
    - *Wind Energy Instructors' Office* - Suite 104:
        - Matt Saldana – 104A
        - Jay Kyle – 104
    - *Wind Energy Instructors' Office* - Suite 115:
        - Andrew Buchok – 115
- *Research:*
    - *Debris Impact Facility* – Suite 117
        - Tammy Pitzer – 117B
        - Yin Lu – 117B
        - Larry Tanner – 117C