| \ UHS INTERNAL AUDITING DEPARTMENT **DEPARTMENTAL REVIEW**  **AUDIT PROGRAM**  **UH, College/Division - Department** | | | | | | | |
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|  |  |  |  | **YES** | **NO** | **N/A** | **COMMENTS** |
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| **A.** | MANAGEMENT OVERSIGHT **(SAM 06.A.07; MAPP 06.01.02; MAPP 10.03.06; MAPP 12.03.03; Office of Academic Affairs and Provost; Division of Research; UIT Policies and Guidelines;** **Continuity of Operations Plan Template)** | | |  |  |  |  |
|  | 1. | Does the College/Division have adequate procedures in place to provide oversight for departmental financial and administrative activities?(Good Business Practice) | |  |  |  |  |
|  | 2. | Is the Monthly Checklist completed and submitted to the applicable Office?(Office of Academic Affairs and Provost Requirement; Division of Research Requirement) | |  |  |  |  |
|  | ACADEMIC CENTERS/INSTITUTES | | |  |  |  |  |
|  | 3. | Does the Department have an Academic Center or Institute? **(SAM 06.A.07 § 2.1; MAPP 12.03.03 § II.A.)** | |  |  |  |  |
|  | 4 | Is there a written agreement that documents the creation, existence and purpose of the Center/Institute?(SAM 06.A.07 § 2.5; MAPP 12.03.03 § III.A.) | |  |  |  |  |
|  | 5. | Was the written agreement approved by the President or designee, Department Chair, Dean and SVP for Academic Affairs and Provost?(SAM 06.A.07 § 2.5; MAPP 12.03.03 § III.B.) | |  |  |  |  |
|  | 6. | Is an annual report of activities produced, including a financial statement, by January 15th of the subsequent fiscal year; and submitted to the Center/Institute members, Department Chair, Dean and SVP for Academic Affairs and Provost? **(SAM 06.A.07 § 3.2.f.; MAPP 12.03.03 § IV.G.)** | |  |  |  |  |
|  | CONTINUITY OF OPERATIONS PLANNING PROGRAM | | |  |  |  |  |
|  | 7. | Has the College/Division designated a Continuity of Operations Planning Liaison? **(MAPP 06.01.02 §§ III.D. and IV.B.1)** | |  |  |  |  |
|  | 8. | Was a College/Division Continuity of Operations Plan completed by the Liaison using the University’s prescribed format; and was it approved by the Dean or appropriate Vice President?(MAPP 06.01.02 § IV.B.2; Continuity of Operations Plan Template) | |  |  |  |  |
|  | 9. | Was the College/Division Continuity of Operations Plan submitted to the UH Office of Emergency Management on or before June 1st? **(MAPP 06.01.02 §§ IV.B.3)** | |  |  |  |  |
|  | 10. | Was a Department Continuity of Operations Plan completed by the Department using the University’s prescribed format; and was it approved by the appropriate department head? **(MAPP 06.01.02 §§ IV.C.2 and C.3; Continuity of Operations Plan Template)** | |  |  |  |  |
|  | 11. | Was the Department Continuity of Operations Plan timely submitted to the UH Office of Emergency Management on or before June 1st?(MAPP 06.01.02 §§ IV.C.4) | |  |  |  |  |
|  | 12. | Are all the essential functions included in the Continuity of Operations Plan? **(Continuity of Operations Plan Template)** | |  |  |  |  |
|  | 13. | Were exercises conducted to test the Continuity of Operations Plan?(Continuity of Operations Plan Template) | |  |  |  |  |
|  | 14. | Was the Continuity of Operations Plan shared with the staff? **(Continuity of Operations Plan Template)** | |  |  |  |  |
|  | DEPARTMENTAL COMPUTING | | |  |  |  |  |
|  | 15. | Has the College/Division/Department prepared an IT Resource Management Plan? **(MAPP 10.03.06 § II.A.; UIT Policies and Guidelines)** | |  |  |  |  |
|  | 16. | Was a College/Division Technology Review performed by University Information Technology? **(Good Business Practice)** | |  |  |  |  |
|  | 17. | If a College/Division Technology Review was performed, were recommendations implemented? **(Good Business Practice)** | |  |  |  |  |
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| **B.** | POLICIES, PROCEDURES, REQUIRED TRAINING, and REPORTING **(SAM 02.A.08; SAM 02.A.26; SAM 03.A.17; MAPP 01.03.01; MAPP 02.06.01; MAPP 04.00.00)** | | |  |  |  |  |
|  | 1. | Have Baseline Standards been prepared for the current fiscal year, and timely submitted to Accounting Services for inclusion in the Survival Guide?  **(MAPP 01.03.01 § V.)** | |  |  |  |  |
|  | 2. | Does the department have a desk reference manual to assist personnel in completing their administrative and financial tasks?  **(Good Business Practice)** | |  |  |  |  |
|  | 3. | Have all personnel completed all required training (UHS mandatory and role-based)?  **(SAM 02.A.26 § 2.7; MAPP 02.06.01 § V.A.)** | |  |  |  |  |
|  | 4. | Have applicable personnel completed the on-line External Consulting and Related Party Disclosure Form?  **(SAM 02.A.08; SAM 03.A.17 § 3.2; MAPP 04.00.00 § VI.B.)** | |  |  |  |  |
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| **C.** | **COST CENTER MANAGEMENT**  **(SAM 03.G.01; SAM 03.G.03; MAPP 05.04.02; Academic Affairs Internal Policy; Cost Center Verification Procedure; Cost Center Manager Delegation Memo)** | | |  |  |  |  |
|  | 1. | Is there a process in place to help ensure that verifications are prepared for all active cost centers?  **(SAM 03.G.03 § 2.2; MAPP 05.04.02 § III.A.)** | |  |  |  |  |
|  | 2. | Are verifications performed timely on a monthly basis; no later than 60 days after the accounting period is closed?  **(SAM 03.G.03 § 2.5; MAPP 05.04.02 § III.A.)** | |  |  |  |  |
|  | 3. | Are all transactions, which include revenue, expense, fund equity, budget transactions, open/soft commitments, asset and liability transactions that were manually entered into the system verified for accuracy?  **(SAM 03.G.03 § 2.3.a.; MAPP 05.04.02 § III.C.1; Cost Center Verification Procedure)** | |  |  |  |  |
|  | 4. | Are transactions recorded in error that require a correction identified and reported to the appropriate office for correction?  **(SAM 03.G.03 §§ 2.3.b. and 2.3.c.; MAPP 05.04.02 §§ III.C.2 and C.3)** | |  |  |  |  |
|  | 5. | Are verifications verified by a unit administrator or designee who has knowledge of the transactions for that unit; and does the cost center manager or designee review and approve the transactions in the 1074 Verification Worksheets that were previously verified?  **(SAM 03.G.03 § 2.4; MAPP 05.04.02 § III.D.)** | |  |  |  |  |
|  | 6. | Does the verifier document that they have completed the cost center verification; and does the cost center manager or designee document they have reviewed and approved the verification?  **(SAM 03.G.03 § 2.5; MAPP 05.04.02 § III.E.)** | |  |  |  |  |
|  | 7. | If the Cost Center Manager delegated authority for the review and approval of the verifications, was it documented in writing with a Cost Center Delegation Memo or email?  **(Cost Center Verification Procedure § 7; Cost Center Manager Delegation Memo)** | |  |  |  |  |
|  | 8. | Are verifications reviewed and approved no later than 60 days after the accounting period is closed?  **(MAPP 05.04.02 § III.D.; Cost Center Verification Procedure § 7)** | |  |  |  |  |
|  | 9. | Is the UGLS1074 Verification Worksheet used to document verifications?  **(SAM 03.G.03 § 2.8; MAPP 05.04.02 § III.G.)** | |  |  |  |  |
|  | 10. | Have all required financial conditions been met in order to close out inactive non-project/grant cost centers?  **(MAPP 05.04.02 § III.H.)** | |  |  |  |  |
|  | 11. | Have requests to deactivate inactive non/project/grant cost centers been submitted to the appropriate office, so that they are removed from the list of cost centers to be verified?  **(SAM 03.G.03 § 2.9; MAPP 05.04.02 § III.H.)** | |  |  |  |  |
|  | 12. | Did cost center fund groups (1xx, 2xx, 3xx and 4xx) for the College/Division have zero or positive fund equity balances at year-end?  **(SAM 03.G.01 § 2.1; Academic Affairs Internal Policy)** | |  |  |  |  |
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| **D.** | **PAYROLL**  **(SAM 02.B.02; SAM 02.D.01; SAM 02.F.03; MAPP 02.01.03; MAPP 02.05.02; TRAM Managers Guide; TRAM Employees Guide; Accounting Services)** | | |  |  |  |  |
|  | 1. | Are employees properly set up in the system by the first day of employment in order to record time, worked and leave time?  **(Good Business Practice)** | |  |  |  |  |
|  | 2. | Are assigned work schedules in TRAM managed and updated to reflect the employee’s correct work days and hours?  **(TRAM Managers Guide)** | |  |  |  |  |
|  | 3. | Are all non-exempt employees timely punching in and out to accurately record time worked?  **(SAM 02.F.03 § 2.5.; MAPP 02.05.02 §§ III.C. and IV.A.1; TRAM Employees Guide)** | |  |  |  |  |
|  | 4. | Are employees timely submitting absence requests?  **(SAM 02.D.01 §§ 4.1.g. and 4.4.; MAPP 02.05.02 §§ III.C. and E.; TRAM Employees Guide)** | |  |  |  |  |
|  | 5. | Are absence requests approved by the employee’s supervisor/time approver?  **(SAM 02.D.01 § 4.4.; MAPP 02.05.02 §§ IV.A.4 and B.2; TRAM Managers Guide)** | |  |  |  |  |
|  | 6. | Do manual entries and/or corrections to time recorded or absence requests include comments that substantiate the entry?  **(MAPP 02.05.02 §§ IV.A.5 and B.3; TRAM Managers Guide)** | |  |  |  |  |
|  | 7. | Is all overtime work by non-exempt employees authorized in advance by the appropriate supervisor? **(SAM 02.B.02 § 2.2.; MAPP 02.01.03 § IV.B.)** | |  |  |  |  |
|  | 8. | Are non-exempt employee’s electronic time sheets approved by a supervisor at the end of each work week to ensure timely and correct payment?  **(MAPP 02.05.02 §§ III.H. and IV.A.2)** | |  |  |  |  |
|  | 9. | Are approved reported time and absence requests reconciled with check registers to ensure that employees are paid accurately?  **(MAPP 02.05.02 § III.I.)** | |  |  |  |  |
|  | 10. | Are “high” severity exceptions being reviewed and cleared prior to noon every Wednesday?  **(TRAM Managers Guide)** | |  |  |  |  |
|  | 11. | Is the TRAM Available Leave Report reviewed to help ensure there are no projected negative leave balances prior to the last load to payroll for the Trial Payroll Verification Report?  **(Good Business Practice)** | |  |  |  |  |
|  | 12. | Are payroll suspense reports run after the close of each accounting period and corrections submitted to General Accounting by the 28th of each month?  **(Accounting Services § General Accounting – Payroll Suspense; Cost Center Verification Procedure § 3)** | |  |  |  |  |
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| **E.** | **HUMAN RESOURCES**  **(SAM 02.A.25; SAM 02.A.31; MAPP 02.03.03; MAPP 02.03.05; MAPP 02.04.05; MAPP 02.05.01; Provost Office – Interim Non-Tenure Track Faculty Policy; P-Card Guidelines; Travel Card Guidelines)** | | |  |  |  |  |
|  | 1. | Are regular staff employees hired via an Applicant Tracking System instructed to complete all hiring and onboarding documents, including the Employment Eligibility Verification Form (I-9)?  **(MAPP 02.03.03 § III.A.1.a.)** | |  |  |  |  |
|  | 2. | Are non-regular employees instructed on or before their first day of employment to complete all hiring and onboarding paperwork, including the Personal Data Sheet, Employment Eligibility Verification Form (I-9), and any additional departmental requirements?  **(MAPP 02.03.03 § III.A.2.a.)** | |  |  |  |  |
|  | 3. | Is Employment Eligibility verification completed within three business days of the first day of employment or before?  **(MAPP 02.03.03 §§ III.A.1.a. and 2.b.)** | |  |  |  |  |
|  | 4. | Is an Electronic Personal Action Request (ePAR) for non-regular employees submitted via PeopleSoft at least 5 days prior to the employee’s first day of employment?  **(MAPP 02.03.03 § III.A.2.c.)** | |  |  |  |  |
|  | 5. | Do all new regular staff employees attend Hew Hire Orientation (NHO) within 30 days of their start date?  **(MAPP 02.03.03 § IV.A.)** | |  |  |  |  |
|  | 6. | For new non-tenure track faculty hires, is there a process in place to help ensure that the following documents are submitted to the Office of the AVP for Faculty Affairs:   * Dean’s offer letter with candidate’s signature * Non-Tenure Track Approval of Hiring * Non-Tenure Track Employment Acceptance Form * Candidate’s CV * Candidate’s original transcripts   **(Provost Office § Interim Non-Tenure Track Faculty Policy)** | |  |  |  |  |
|  | 7. | For non-tenure track reappointments, is there a process in place to help ensure that the following documents are submitted to the Office of the AVP for Faculty Affairs:   * Non-Tenure Track Faculty Reappointment Agreement or Dean’s offer letter with candidate’s signature * Non-Tenure Track Employment Acceptance Form   **(Provost Office § Interim Non-Tenure Track Faculty Policy)** | |  |  |  |  |
|  | 8. | Is a criminal background check conducted on any applicant, internal or external, who is under final consideration for employment; including all P-Card and T-Card holders?  **(SAM 02.A.37 § 2.2; MAPP 02.03.05; P-Card Guidelines § II.B.; Travel Card Guidelines § II.B.)** | |  |  |  |  |
|  | 9. | Is there a process in place for terminating employees to help ensure all university keys; access codes and cards, credit cards, and passwords are recovered and/or canceled; and financial and parking matters are settled, including the use of an eTermination Checklist?  **(SAM 02.A.25 §§ 3.2 and 3.4; MAPP 02.04.05 §§ III., IV. and V.)** | |  |  |  |  |
|  | 10. | Are the resignation letter and other related documentation submitted to Human Resources for the inclusion in the employee’s personnel file?  **(SAM 02.A.25 § 3.1; MAPP 02.04.05 § V.)** | |  |  |  |  |
|  | 11. | Is a termination Electronic Personnel Action Request (ePAR) submitted to Human Resources within five working days of the employee’s termination?  **(MAPP 02.04.05 § V.)** | |  |  |  |  |
|  | 12. | Are departmental personnel files safeguarded to help ensure integrity of the files, preserve the confidentiality of the records, and limit access only to authorized personnel?  **(SAM 02.A.31; MAPP 02.05.01)** | |  |  |  |  |
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| **F.** | **CHANGE FUNDS AND CASH RECEIPTS**  **(SAM 03.A.06; SAM 03.A.07; SAM 03.A.24; SAM 03.F.04; SAM 03.H.01; MAPP 05.01.01; MAPP 05.04.04; PCI Data Security Standard Best Practices; Departmental Cash Handling Guidelines; Departmental Petty Cash and Change Fund Request Guidelines; Cash Journal and Deposit Guidelines; Remote Deposit Procedures)** | | |  |  |  |  |
|  | 1. | Does the department receive currency or cash equivalents (check, credit card, money order, etc.) for registration fees, application fees, copy fees, book sales, royalties, banquets, conferences, workshops, seminars, continuing education, study abroad, etc.? If yes, answer questions 8 – 21 below. | |  |  |  |  |
|  | 2. | Does the department make deposits using a remote deposit scanner? If yes, answer questions 22 - 26 below. | |  |  |  |  |
|  | 3. | Does the department accept credit card payments? If yes, answer questions 27 - 33 below. | |  |  |  |  |
|  | 4. | Does the department receive gift checks? If yes, answer questions 34 - 35 below. | |  |  |  |  |
|  | 5. | Does the department have a change fund? If yes, is the change fund segregated from other funds, and was the change fund approved by the appropriate individuals, and reauthorized for the current fiscal year?  **(SAM 03.F.04 §§ 3.4 and 3.5; MAPP 05.01.01 § VI.; Departmental Petty Cash and Change Fund Request Guidelines)** | |  |  |  |  |
|  | 6. | Does the department have a petty cash fund? If yes, is the petty cash fund segregated from other funds, and was the petty cash fund approved by the appropriate individuals, and reauthorized for the current fiscal year?  **(SAM 03.A.07; SAM 03.F.04 §§ 3.4 and 3.5; MAPP 05.01.01 § VI.; Departmental Petty Cash and Change Fund Request Guidelines)** | |  |  |  |  |
|  | 7. | Does the department have accounts receivable? If yes, answer questions 36 – 44 below. | |  |  |  |  |
|  | CASH HANDLING | | |  |  |  |  |
|  | 8. | Does the department have written procedures for handling currency and cash equivalents?  **(SAM 03.F.04 §§ 3.2 and 3.7; MAPP 05.01.01 § IV.C.)** | |  |  |  |  |
|  | 9. | Is there a process in place to help ensure the receipt of all revenues due?  **(Good Business Practice)** | |  |  |  |  |
|  | 10. | Is there a reconciliation process in place to help identify the receipt of funds, the deposit of those funds in the University bank account and the recording of the journal in the University financial system?  **(MAPP 05.01.01 § IV.C.2)** | |  |  |  |  |
|  | 11. | Is there segregation of duties in place to help ensure that the same employee does not have both cash handling and monthly reconciliation responsibilities?  **(SAM 03.F.04 § 3.3; MAPP 05.01.01 § IV.D.2)** | |  |  |  |  |
|  | 12. | Are checks deposited made payable to the “University of Houston”?  **(SAM 03.F.04 § 3.8; MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines § III.A.1)** | |  |  |  |  |
|  | 13. | Are checks deposited restrictively endorsed “For Deposit Only” immediately upon receipt?  **(SAM 03.F.04 § 3.8; MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines § III.A.2)** | |  |  |  |  |
|  | 14. | If currency/cash equivalents is received in person, is an acceptable form of receipt issued; specifically a pre-numbered receipt, dated cash log, pre-numbered ticket, cash register tape or other documentation?  **(SAM 03.F.04 § 3.10; MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines § II.)** | |  |  |  |  |
|  | 15. | Are deposits prepared and reconciled by two authorized employees; and do they independently verify placement of the funds into a tamper-proof deposit bag and complete and sign the Cash Deposit Summary form?  **(SAM 03.F.04 § 3.14; MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines §§ VII.A. and D.; Cash Journal and Deposit Guidelines)** | |  |  |  |  |
|  | 16. | Is the Cash Deposit Journal approved electronically by the department approver in workflow indicating that the funds are properly classified and recorded in the proper cost center?  **(MAPP 05.01.01 § III.J.; Departmental Cash Handling Guidelines § VII.B.1; Cash Journal and Deposit Guidelines; Remote Deposit Procedures)** | |  |  |  |  |
|  | 17. | Are receipts totaling $100 or more remitted to Student Financial Services within one working day of receipt; and receipts totaling less than $100 remitted to Student Financial Services within five working days of receipt?  **(SAM 03.F.04 § 3.11; MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines §§ VI.B. and C.)** | |  |  |  |  |
|  | 18. | Is all currency/cash equivalents physically safeguarded in a secured area, such as a cash register, safe, locked drawer, or locked file cabinet?  **(SAM 03.F.04 § 3.16; MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines § IV.)** | |  |  |  |  |
|  | 19. | Are the appropriate offices notified of cash overages and shortages:   * General Accounting and the Treasurer’s Office for individual overages/shortages of $20 or more, or annual cumulative overages/shortages of $40 or more * UH Department of Public Safety and UHS Internal Audit of overages/shortages in excess of $100   **(SAM 03.F.04 § 3.20; MAPP 05.01.01 §§ IV.G.2 and G.3)** | |  |  |  |  |
|  | 20. | Is a log maintained of all deposit overages/shortages, including the date and amount?  **(MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines § VII.C.1)** | |  |  |  |  |
|  | 21. | Is there a process in place to help ensure that copies of deposited checks, and other security sensitive information (social security numbers, bank account numbers and credit card numbers), is not included on documents scanned and uploaded into PeopleSoft?  **(SAM 03.H.01 § 4.1; Cash Journal and Deposit Guidelines; Remote Deposit Procedures)** | |  |  |  |  |
|  | REMOTE DEPOSITS | | |  |  |  |  |
|  | 22. | Was the remote deposit scanner used to scan checks obtained through the Treasurer’s Office?  **(Remote Deposit Procedures)** | |  |  |  |  |
|  | 23. | Are the number of checks scanned and transmitted verified, and is Page 2 of the Cash Deposit Summary Form completed and signed by two people?  **(MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines §VIII.A.; Remote Deposit Procedures)** | |  |  |  |  |
|  | 24. | Is a Cash Deposit Journal prepared and approved electronically by the department approver in workflow indicating that the funds are properly classified and recorded in the proper cost center?  **(MAPP 05.01.01 § III.J.; Departmental Cash Handling Guidelines § VIII.B.1; Remote Deposit Procedures; Cash Journal and Deposit Guidelines)** | |  |  |  |  |
|  | 25. | Is the Cash Deposit Journal completed and submitted in workflow within one business day of the date the checks are scanned and transmitted to the bank?  **(MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines § VIII.B.2)** | |  |  |  |  |
|  | 26. | Is a Summary of Deposits by Account Report prepared?  **(Remote Deposit Procedures)** | |  |  |  |  |
|  | CREDIT CARDS | | |  |  |  |  |
|  | 27. | Was approval obtained from the UHS Treasurer’s Office prior to accepting credit cards in any form, including web transactions through third party processors, using the Credit Card Merchant Request Form?  **(SAM 03.A.06 § 3.5.B.)** | |  |  |  |  |
|  | 28. | Is the PCI Data Security Standard certification completed annually by the department?  **(SAM 03.A.06 § 3.5.C.)** | |  |  |  |  |
|  | 29. | Are procedures in place to follow the guidelines promulgated by the UHS Treasurers Office for the storing, processing and transmitting of credit card data to help ensure compliance with PCI Data Security Standards?  **(SAM 03.A.06 §§ 3.2.B. and 3.5.A.; PCI Data Security Standard Best Practices)** | |  |  |  |  |
|  | 30. | Does the department provide for the physical security of systems and associated peripherals and ensure there is no unauthorized physical access to them, including locking workstation screens when leaving the work area?  **(SAM 03.A.06 § 3.2.B.; PCI Data Security Standard Best Practices)** | |  |  |  |  |
|  | 31. | Does the department prohibit the transmission of unencrypted sensitive cardholder data?  **(SAM 03.A.06 § 3.2.B.; PCI Data Security Standard Best Practices)** | |  |  |  |  |
|  | 32. | Is an Online Incident Reporting Form completed to report a system compromise or a suspected system compromise involving credit card data?  **(SAM 03.A.06 § 3.4.D.)** | |  |  |  |  |
|  | 33. | Are credit card sales recorded on a journal within 24 hours, regardless of the dollar amount?  **(MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines § VI.A.)** | |  |  |  |  |
|  | GIFT CHECKS | | |  |  |  |  |
|  | 34. | Are endowed gift checks sent to the Treasurer’s Office, along with a completed Gift Transmittal Form and any other information regarding the endowment?  **(MAPP 05.01.01 § V.; Departmental Cash Handling Guidelines § V.B.)** | |  |  |  |  |
|  | 35. | For non-endowed gift checks, are the Summary of Deposits by Account Report, completed Gift Transmittal Form and scanned copies of checks submitted to Gift Processing and Records?  **(Remote Deposit Procedures – Non-Endowed Gift Checks)** | |  |  |  |  |
|  | ACCOUNTS RECEIVABLE | | |  |  |  |  |
|  | 36. | Is there a process to ensure that the requested extension of credit is not a prohibited transaction?  **(SAM 03.A.24 § 2.3.1; MAPP 05.04.04 § II.A.)** | |  |  |  |  |
|  | 37. | Is there a procedure for ensuring that any extension of credit is done in a prudent manner?  **(SAM 03.A.24 § 2.3.2; MAPP 05.04.04 § II.B.)** | |  |  |  |  |
|  | 38. | Does the department have written procedures for the billing, accounting, collecting, and monitoring of all accounts receivable to help ensure that the agreed upon payment is received?  **(SAM 03.A.24 § 2.3.3; MAPP 05.04.04 §§ II.C. and VI.)** | |  |  |  |  |
|  | 39. | Does the department maintain an aging schedule for all accounts receivable?  **(MAPP 05.04.04 § VI.)** | |  |  |  |  |
|  | 40. | Are records of collection activities maintained, including copies of letters sent to debtors?  **(MAPP 05.04.04 § VI.)** | |  |  |  |  |
|  | 41. | Is there a procedure for reporting to the Texas Comptroller of Public Accounts the names of persons who have an indebtedness, as required by the Texas Government Code 403.055?  **(SAM 03.A.24 § 2.3.4; MAPP 05.04.04 § II.D.)** | |  |  |  |  |
|  | 42. | Are accounts receivable recognized in the university’s financial records system?  **(MAPP 05.04.04 § V.)** | |  |  |  |  |
|  | 43. | Are departmental records of the accounts receivable maintained and reconciled to the university’s financial system monthly?  **(MAPP 05.04.04 § VI.)** | |  |  |  |  |
|  | 44. | Did the department have any write-offs in the past year and were they approved by the Board of Regents?  **(SAM 03.A.24 § 5; MAPP 05.04.04 § VII.)** | |  |  |  |  |
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| **G.** | **PROCUREMENT AND TRAVEL CARDS**  **(SAM 03.A.03; SAM 03.H.01; MAPP 04.01.11; MAPP 04.02.01A; MAPP 04.02.01B; MAPP 04.02.05; P-Card Guidelines; Travel Card Guidelines)** | | |  |  |  |  |
|  | 1. | Are Cardholder Application/Approval forms completed for each prospective cardholder, approved by the appropriate College/Division Administrator, and submitted to the Accounts Payable?  **(P-Card Guidelines § II.A.; Travel Card Guidelines § II.A.)** | |  |  |  |  |
|  | 2. | Are cardholders complying with university P-Card and T-Card guidelines; including proper completion of a Travel Request in advance of overnight travel?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § III.; Travel Card Guidelines § III.)** | |  |  |  |  |
|  | 3. | Is an Export Controls and Travel Embargo Form completed for all employee travel outside of the United States?  **(SAM 03.A.03 § 4; MAPP 04.02.01A § III.K; MAPP 04.02.01B § V.)** | |  |  |  |  |
|  | 4. | Are cards used for allowed purposes only?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § III.B.; Travel Card Guidelines § III.C.)** | |  |  |  |  |
|  | 5. | Is card information, including the account numbers and physical card, kept secure and only used by the authorized cardholder?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § III.A.; Travel Card Guidelines § III.A.)** | |  |  |  |  |
|  | 6. | Is there a process in place to help ensure that security sensitive information (social security numbers, bank account numbers and credit card numbers) is not included on documents scanned and uploaded into PeopleSoft and Concur?  **(SAM 03.H.01 § 4.1; MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § IV.C.3; Travel Card Guidelines § III.D.2)** | |  |  |  |  |
|  | 7. | Do P-Cardholders confirm that the vendor is not on “Vendor Hold” with the State of Texas prior to making purchases over $500?  **(MAPP 04.01.11 § II.C.; P-Card Guidelines § III.B.5)** | |  |  |  |  |
|  | 8. | Do cardholders provide itemized receipts and other supporting documentation as needed for purchases made with their card?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § III.C.; Travel Card Guidelines § III.D.)** | |  |  |  |  |
|  | 9. | Are P-Cardholders provided with an Expense Report each month to review and certify all transactions were made by them?  **(MAPP 04.01.11 § II.C.; P-Card Guidelines § III.D.)** | |  |  |  |  |
|  | 10. | Is the P-Card Expense Report signed by the cardholder and certifying signatory no later than the last day of the month for the billing period just ended?  **(MAPP 04.01.11 § II.C.; P-Card Guidelines § IV.C.4)** | |  |  |  |  |
|  | 11. | Is the P-Card Expense Report accurately completed; including containing the appropriate account code, cost center and purpose/benefit for each transaction?  **(MAPP 04.01.11 § II.C.; P-Card Guidelines § IV.C.)** | |  |  |  |  |
|  | 12. | Does the Travel Cardholder, custodian or their designee complete an Expense Report in Concur for each business trip, and assign Travel Card transactions to that Expense Report?  **(MAPP 04.02.05 § II.C.; Travel Card Guidelines § III.E.3)** | |  |  |  |  |
|  | 13. | Is the T-Card Expense Report in Concur routed through workflow to the appropriate certifying signatory for their review and approval?  **(MAPP 04.02.05 § II.C.; Travel Card Guidelines § III.E.5)** | |  |  |  |  |
|  | 14. | Is the T-Card Expense Report in Concur submitted to Accounts Payable no later than the 25th of the month following the month in which the expenses occurred?  **(MAPP 04.02.05 § II.C.; Travel Card Guidelines § III.E.10)** | |  |  |  |  |
|  | 15. | Are T-Card Expense Reports involving moving expenses, payments to foreign nationals, or when receipts were not submitted to the business office within 60 days after the trip reviewed by the Tax Department?  **(Travel Card Guidelines § III.E.9)** | |  |  |  |  |
|  | 16. | Is the vendor contacted and asked to reverse erroneous charges; and if the vendor agrees does the cardholder write a memo indicating when the request was made and forward the memo to the department business office?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § III.E.; Travel Card Guidelines § III.F.)** | |  |  |  |  |
|  | 17. | If the vendor does not agree to reverse the erroneous charge or agrees but does not do so by the end of the next billing cycle, does the cardholder complete a Statement of Disputed Item Form and forward it to Accounts Payable?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § III.E.3; Travel Card Guidelines § III.F.3)** | |  |  |  |  |
|  | 18. | Does the College/Division Administrator, or designee, closely monitor credits claimed by the cardholder?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § IV.D.; Travel Card Guidelines § IV.D.)** | |  |  |  |  |
|  | 19. | Does the College/Division Administrator, or designee, review all card transactions for irregular activities no later than 30 days after the end of the billing cycle?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § IV.E.; Travel Card Guidelines § IV.E.)** | |  |  |  |  |
|  | 20. | Does the College/Division Administrator, or designee, review the selected P-Card transactions identified by Accounts Payable?  **(MAPP 04.01.11 § II.C.; P-Card Guidelines § IV.F.)** | |  |  |  |  |
|  | 21. | Are exchanges or returns of merchandise only made for credit, rather than check or cash reimbursements? **(MAPP 04.01.11 § II.C.; P-Card Guidelines § III.F.2)** | |  |  |  |  |
|  | 22. | Are lost, stolen or damaged cards reported to the bank immediately; and is the Card Program Coordinator notified within 24 hours?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § III.H.; Travel Card Guidelines § III.J.)** | |  |  |  |  |
|  | 23. | Are cards canceled when the cardholder no longer requires use of the card, transfers to a different department or is separated from the university?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § IV.B.1; Travel Card Guidelines § IV.B.)** | |  |  |  |  |
|  | 24. | Are card liability account balances researched and cleared within 30 days; and is the liability account balance zero at the end of the fiscal year?  **(MAPP 04.01.11 § II.C.; MAPP 04.02.05 § II.C.; P-Card Guidelines § IV.I.; Travel Card Guidelines § IV.G.)** | |  |  |  |  |
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| **H.** | **DEPARTMENTAL EXPENSES**  **(SAM 03.A.02; SAM 03.A.03; SAM 03.H.01; MAPP 04.01.03; MAPP 04.02.01A; MAPP 04.02.01B; MAPP 04.02.05; MAPP 05.02.01; MAPP 05.02.02; Travel Card Guidelines)** | | |  |  |  |  |
|  | 1. | Does the Certifying Signatory or Department Approver review and approve expenditures for compliance?  **(MAPP 05.02.01 § IV.D.)** | |  |  |  |  |
|  | 2. | Are entertainment expenses allowable, appropriately authorized and documented?  **(SAM 03.A.02 §§ 3 and 4; MAPP 05.02.02)** | |  |  |  |  |
|  | 3. | Are all official functions and discretionary expenses allowable, appropriately authorized, and documented?  **(MAPP 05.02.02)** | |  |  |  |  |
|  | 4. | Are travel expenses allowable, appropriately authorized and documented, including proper completion and approval of a Travel Request in advance of overnight travel?  **(SAM 03.A.03 §§ 2 and 3; MAPP 04.02.01A; MAPP 04.02.01B; MAPP 04.02.05 § II.C; Travel Card Guidelines § III.)** | |  |  |  |  |
|  | 5. | Is an Export Controls and Travel Embargo Form completed for all employee travel outside of the United States?  **(SAM 03.A.03 § 4; MAPP 04.02.01A § III.K.; MAPP 04.02.01B § V.)** | |  |  |  |  |
|  | 6. | Are direct expense reimbursements allowable, appropriately authorized and documented?  **(SAM 03.A.02 §§ 3 and 4; SAM 03.A.03 §§ 2 and 3; MAPP 04.02.01A.; MAPP 04.02.01B.; MAPP 05.02.02)** | |  |  |  |  |
|  | 7. | For entertainment, discretionary and official function direct expense reimbursements, is the Voucher used to process the reimbursement accurately completed; including containing the appropriate account code, cost center and purpose/benefit?  **(MAPP 04.01.03)** | |  |  |  |  |
|  | 8. | For direct travel expense reimbursements, is the reimbursement processed in Concur accurately; including containing the appropriate account code, cost center and purpose/benefit?  **(MAPP 04.02.01A §§ X.A. and B.; MAPP 04.02.01B §§ IX.A. and B.)** | |  |  |  |  |
|  | 9. | Are requests for reimbursement, including required documentation, submitted to the appropriate business office no later than 60 days after the date of the event or the completion of the travel?  **(SAM 03.A.02 § 4.7; MAPP 04.02.01A § X.C.1; MAPP 04.02.01B § IX.D.1)** | |  |  |  |  |
|  | 10. | For direct travel expense reimbursements submitted to the business office more than 60 days after the completion of travel, was the Expense Report routed in workflow through the Tax Department, and was a Taxable Payments or Reimbursements to Employees form completed?  **(MAPP 04.02.01A § X.C.2; MAPP 04.02.01B § IX.D.3)** | |  |  |  |  |
|  | 11. | Is there a process in place to help ensure that security sensitive information (social security numbers, bank account numbers and credit card numbers) is not included on documents scanned and uploaded into PeopleSoft or Concur?  **(SAM 03.H.01 § 4.1; MAPP 04.02.05 § II.C.; Travel Card Guidelines § III.D.2)** | |  |  |  |  |
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| **I.** | **CONTRACT ADMINISTRATION**  **(SAM 03.A.05; MAPP 04.04.01A; Office of Contract Administration)** | | |  |  |  |  |
|  | 1. | Are copies of executed contracts maintained on file within the department?  **(SAM 03.A.05 § 3.1.a.; MAPP 04.04.01A § III.I.)** | |  |  |  |  |
|  | 2. | Is a contract coversheet properly completed and signed by all required parties prior to the contract start date?  **(MAPP 04.04.01A § V.B.)** | |  |  |  |  |
|  | 3. | Is a person assigned with the responsibility for ensuring that the terms and conditions of the contract are met, and do they sign a statement acknowledging such responsibility?  **(SAM 03.A.05 § 3.1.b.; MAPP 04.04.01A § III.B.4)** | |  |  |  |  |
|  | 4. | Do contracts and agreements identify the name of the contracting party as the University of Houston? **(MAPP 04.04.01A § I.A.)** | |  |  |  |  |
|  | 5. | Are all contracts executed/signed by the university official with delegated contractual signature authority?  **(SAM 03.A.05 § 2.4; MAPP 04.04.01A § II.C.)** | |  |  |  |  |
|  | 6. | Are all contracts signed by all required parties prior to the contract start date?  **(SAM 03.A.05 § 2.3; MAPP 04.04.01A § II.B.)** | |  |  |  |  |
|  | 7. | Are amendments, changes, extensions or renewals to original contracts processed in the same manner as the original contract; and is a copy of the original contract included with the amendment, change or extension?  **(SAM 03.A.05 § 2.5; MAPP 04.04.01A § II.D.)** | |  |  |  |  |
|  | 8. | Is there a process in place to help ensure that the duration of any contract does not extend beyond a period of 5 consecutive years; unless approved in writing by the official with delegated authority?  **(MAPP § III.F.)** | |  |  |  |  |
|  | 9. | Are contracts reviewed and approved as to form by the Office of General Counsel before execution? **(SAM 03.A.05 § 6.2; MAPP 04.04.01A § III.D.)** | |  |  |  |  |
|  | 10. | Is information regarding expenditure contracts (including amendments, modifications, renewals or extensions) for construction projects and professional services, other than physician or optometric services, that exceed $14,000 submitted to the Office of Contract Administration in a timely manner in order for the university to notify the LBB by the 10th day after the university entered into the contract?  **(SAM 03.A.05 §§ 7.3.c.1 and 7.4; MAPP 04.04.01A § IV.D.3)** | |  |  |  |  |
|  | 11. | Are revenue generating contracts reviewed by the System Office of Contract Administration, Senior Associate Vice Chancellor for Finance and/or Associate Vice Chancellor for Administration (or designee) and the UH Tax Director?  **(SAM 03.A.05 § 7.5; MAPP 04.04.01A § IV.E.)** | |  |  |  |  |
|  | 12. | Is a Recommendation for Award Form completed for all contracts, regardless of the source of funds?  **(Office of Contract Administration § Administrative Forms – Recommendation for Award)** | |  |  |  |  |
|  | 13. | Is a Sole Source Justification Form completed, and approved by the Purchasing Department, when only one vendor can provide the good or service needed, and competition is not possible?  **(MAPP 04.04.01A § V.K.3.f.)** | |  |  |  |  |
|  | 14. | Does the department confirm with the Texas Comptroller that all contracting parties have no unpaid financial obligations to the State of Texas?  **(SAM 03.A.05 § 7.9; MAPP 04.04.01A § V.A.)** | |  |  |  |  |
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| **J.** | **PROPERTY MANAGEMENT**  **(SAM 03.E.02; MAPP 03.03.1; Property Management Guidelines)** | | |  |  |  |  |
|  | 1. | Was a Property Custodian designated for the current fiscal-year; and was the appropriate form (PRP-6A) timely completed, signed by all required parties; and was the form timely submitted to Property Management?**(SAM 03.E.02 § 3.4; MAPP 03.03.01 § IV.B.; Property Management Guidelines § Responsibilities)** | |  |  |  |  |
|  | 2. | Does all capital and controlled property contain a tag with a unique identification number assigned to it?**(Property Management Guidelines § Equipment Tagging)** | |  |  |  |  |
|  | 3. | Was an annual inventory of all department capital and controlled equipment timely completed; and was the appropriate form (PRP-9) timely completed, signed by all required parties; and was the form timely submitted to Property Management? **(Property Management Guidelines § Physical Inventory)** | |  |  |  |  |
|  | 4. | Is an Authorization to Move/Transfer Furniture and Equipment form (PRP-1A) completed and submitted to Property Management when equipment is moved, transferred to storage or deleted from the departmental inventory; and is it signed by the Property Custodians and Principal Investigator (if applicable)? **(Property Management Guidelines § Interdepartmental Loans and Transfers)** | |  |  |  |  |
|  | 5. | Is a Missing, Damaged or Stolen Property Report prepared for property that has been stolen or lost, destroyed or damaged; and forwarded to Property Management?**(Property Management Guidelines § Missing, Damaged or Stolen Property)** | |  |  |  |  |
|  | 6. | Was a Request for Authority to Remove Equipment from Campus form (PRP-2) timely completed and signed by all required parties; and was the form timely submitted to Property Management for any equipment that was removed from campus?  **(Property Management Guidelines § Off-Campus Equipment)** | |  |  |  |  |
|  | 7. | Was a Request for Authority to Remove Equipment from Campus form (PRP-2) timely renewed for equipment that was located off-campus that extended past the end of the fiscal year?  **(Property Management Guidelines § Off-Campus Equipment)** | |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **K.** | **SCHOLARSHIPS**  **(SAM 03.G.03; SAM 06.B.02; MAPP 05.04.02; MAPP 12.01.01)** | | |  |  |  |  |
|  | 1. | Does the College/Division/Department have written scholarship guidelines which state how scholarships are awarded, including requirements for the scholarship committee(s)?  **(MAPP 12.01.01 § IV.A.)** | |  |  |  |  |
|  | 2. | Do the written scholarship guidelines include the following: state how the scholarships are awarded; application criteria; method of publicizing available scholarships; eligibility guidelines and other criteria; award method; documentation requirements; and method of notification to the Office of Scholarships and Financial Aid?  **(Good Business Practice)** | |  |  |  |  |
|  | 3. | Are scholarship eligibility guidelines, and other scholarship criteria, in writing and maintained by the College/Division/Department?  **(SAM 06.B.02 § 2.2; MAPP 12.01.01 § IV.C.)** | |  |  |  |  |
|  | 4. | Is there a process in place to help ensure that all scholarship donor or provider restrictions and criteria have been met and that the selected student is eligible to receive such funds?  **(SAM 06.B.02 §§ 2.5 and 3.1)** | |  |  |  |  |
|  | 5. | If the department awards need-based scholarships, is the Cost of Attendance, Financial Need, and Expected Family Contribution information developed by the Office of Scholarships and Financial Aid used for all need based awards?  **(MAPP 12.01.01 § IV.D.)** | |  |  |  |  |
|  | 6. | Are all available scholarships and scholarship applications publicized by the College/Division/Department? **(SAM 06.B.02 § 2.3; MAPP 12.01.01 § IV.E.)** | |  |  |  |  |
|  | 7. | Is a mechanism and timeline for notification to the Office of Scholarships and Financial Aid of the awardees defined within the written scholarship guidelines?  **(MAPP 12.01.01 § IV.G.)** | |  |  |  |  |
|  | 8. | Are all scholarship awards processed through the Office of Scholarships and Financial Aid (university’s financial aid and student accounting systems)?  **(MAPP 12.01.01 § IV.H.)** | |  |  |  |  |
|  | 9. | Are scholarship awards reconciled to the university’s student administration and financial systems?  **(Good Business Practice)** | |  |  |  |  |
|  | 10. | Are all scholarship funds received or disbursed properly recorded using the appropriate fund codes and program codes in the university’s financial records?  **(MAPP 12.01.01 § VII.A.)** | |  |  |  |  |
|  | 11. | Are awards made in the required period as stated by the donor or fund source provider; or by the end of the fiscal year following receipt of funds in cases where the period is not specified?  **(MAPP 12.01.01 § VII.B.)** | |  |  |  |  |
|  | 12. | Is there a process in place to help ensure that year-end equity balances do not exceed the amount necessary for total award commitments plus a reserve of 25% of the funds received in the previous fiscal year?  **(MAPP 12.01.01 § VII.C.)** | |  |  |  |  |
|  | 13. | Is each scholarship cost center evaluated during the budget process to help ensure that only funds that are expected to be expended are budgeted?  **(Good Business Practice)** | |  |  |  |  |
|  |  | | |  |  |  |  |
| **L.** | **RESEARCH**  **(SAM 06.A.07; MAPP 05.02.01; MAPP 05.02.03; MAPP 05.04.02; Division of Research (DOR); Faculty Handbook; Uniform Guidance A-81)** | | |  |  |  |  |
|  | 1. | Were all research project proposals reviewed and approved by the Department Chair, College Dean, Institute or Center Director (if applicable), and Office of Contracts and Grants prior to submission?  **(DOR: Sponsored Projects § Pre Award Guidance - Proposal Preparation)** | |  |  |  |  |
|  | 2. | Does the department house a Research Center or Institute? If yes, answer questions 22 – 25 below. | |  |  |  |  |
|  | 3. | Does the department have research involving the use of human subjects? If yes, answer questions 26 – 27 below. | |  |  |  |  |
|  | 4. | Does the department have research involving the use of animal subjects? If yes, answer questions 28 – 29 below. | |  |  |  |  |
|  | 5. | Does the department have any sub-recipient agreements? If yes, answer questions 30 – 32 below. | |  |  |  |  |
|  | 6. | Do all applicable academic staff members meeting the definition of investigator annually complete a Conflict of Interest Certification form?  **(DOR: Compliance § Conflict of Interest Certification in Research)** | |  |  |  |  |
|  | 7. | For all research projects involving data, material or technology that falls outside of the Fundamental Research Exclusion, was an export control license obtained from the appropriate government agency; and was the license application filed by the Office of Contracts and Grants?  **(DOR: Compliance § Export Controls)** | |  |  |  |  |
|  | 8. | Do Principal Investigators or their designee certify all expenses charged to the project, ensuring project specific costs are reasonable, allocable, and allowable for the project?  **(DOR: Sponsored Projects § Post Award Guidance – Awardee Administrative Responsibilities)** | |  |  |  |  |
|  | 9. | Are expenses certified only by employees (administrators) who have completed the Research Administration Certification Program? (If a department does not have a certified administrator, the college administrator is required to certify all of that department’s expenses.)  **(DOR: Sponsored Projects § Post Award Guidance – Awardee Administrative Responsibilities)** | |  |  |  |  |
|  | 10. | Were all expenses incurred within the period of performance of the sponsored project?  **(DOR: Sponsored Projects § Full Listing of Policies and Procedures – Closeout Guidelines)** | |  |  |  |  |
|  | 11. | Are cost sharing expenses documented, and is a cost sharing spreadsheet submitted to the Manager of Fiscal Reporting by the 10th of each month; and, is a final copy of the spreadsheet provided to Research Financial Services immediately following the expiration of the sponsored project?  **(DOR: Sponsored Project § Post Award Guidance – Cost Sharing)** | |  |  |  |  |
|  | 12. | Are human resource requests reviewed to help ensure compliance with National Institute of Health salary caps (in dollar amounts) and other Department of Health and Human Services agencies?  **(DOR: Compliance § Effort Reporting - Salary Cap Limitations)** | |  |  |  |  |
|  | 13. | Is effort reported on a quarterly basis; by the due date on the Division of Research’s frequency of certification schedule?  **(DOR: Compliance § Effort Reporting; Uniform Guidance A-81 § 200.430(i))** | |  |  |  |  |
|  | 14. | Are effort reports reviewed against posted human resource salary amounts?  **(DOR: Compliance § Effort Reporting)** | |  |  |  |  |
|  | 15. | Are all reallocations (including payroll), equipment purchases in the last 6 months of an award and non-standard consulting service agreements approved by the Office of Contracts and Grants?  **(MAPP 05.02.01 § IV.C.; DOR: Sponsored Projects § Post Award Guidance – Awardee Administrative Responsibilities)** | |  |  |  |  |
|  | 16. | Are budget justifications obtained from the Office of Contracts and Grants for generally disallowed expenses (administrative and clerical salaries and fringe benefits and general-purpose expenses such as office supplies, postage, local telephone costs, memberships, and subscriptions) on Federally funded projects?  **(DOR: Sponsored Projects § Post Award Guidance –Costing Practices; Uniform Guidance A-81 § 200.407)** | |  |  |  |  |
|  | 17. | Are required technical reports submitted to the sponsor as set forth in the sponsor agreement?  **(DOR: Sponsored Projects § Post Award Guidance - Technical Reports)** | |  |  |  |  |
|  | 18. | Are copies of the required technical reports or evidence of submission to the sponsor sent to the Division of Research?  **(DOR: Sponsored Projects § Post Award Guidance - Technical Reports)** | |  |  |  |  |
|  | 19. | Did all grant related cost centers have positive budgetary balances during the year?  **(SAM 03.C.01 § 4.2.2; Faculty Handbook § Fiscal Responsibility in Research)** | |  |  |  |  |
|  | 20. | Have all required financial conditions been met in order to close out expired project/grant cost centers?  **(MAPP 05.04.02 § III.H.)** | |  |  |  |  |
|  | 21. | Have requests to deactivate expired grant/project cost centers been submitted to the appropriate office, so that they are removed from the list of cost centers to be verified?  **(SAM 03.G.03 § 2.9; MAPP 05.04.02 § III.H.)** | |  |  |  |  |
|  | CENTER/INSTITUTE | | |  |  |  |  |
|  | 22. | Is there a written agreement that documents the creation, existence and purpose of the Center/Institute?  **(SAM 06.A.07 § 2.5; DOR § Centers and Institutes - Guidelines)** | |  |  |  |  |
|  | 23. | Was the agreement approved by the President or their designee (VC/VP for Research)?  **(SAM 06.A.07 § 2.5; DOR § Centers and Institutes - Guidelines)** | |  |  |  |  |
|  | 24. | Does the Center/Institute undergo an extensive review every fourth year?  **(DOR § Centers and Institutes - Guidelines )** | |  |  |  |  |
|  | 25. | Does the Center/Institute submit an annual report with updated contact information for its Director and Officers by January 31st to the Office of the VC/VP for Research?  **(DOR § Centers and Institutes - Guidelines)** | |  |  |  |  |
|  | HUMAN SUBJECTS | | |  |  |  |  |
|  | 26. | For all research projects involving the use of human subjects, was approval obtained from the IRB prior to the initiation of the project?  **(DOR: Compliance § Human Subjects/IRB)** | |  |  |  |  |
|  | 27. | Was human subject education training completed by all applicable investigators and research personnel listed on the human subject application?  **(DOR: Compliance § Human Subjects/IRB – Human Subjects Training)** | |  |  |  |  |
|  | ANIMAL SUBJECTS | | |  |  |  |  |
|  | 28. | For all research projects involving the use of animal subjects, was approval obtained from the Institutional Animal Care and Use Committee prior to the initiation of the project?  **(DOR: Compliance § Animal Subjects/IACUC)** | |  |  |  |  |
|  | 29. | Was animal subject education training completed by all applicable investigators and research personnel listed on the Animal Use Protocol?  **(DOR: Compliance § Animal Subjects/IACUC – Education and Training)** | |  |  |  |  |
|  | SUBRECIPIENT AGREEMENTS | | |  |  |  |  |
|  | 30. | Does the Principal Investigator review all invoices to determine that the charges are appropriate and the amount of effort and technical progress is consistent with the amount being invoiced?  **(DOR: Sponsored Projects § Post Award Guidance – Subrecipient Agreements)** | |  |  |  |  |
|  | 31. | Does the Principal Investigator verify that the subrecipient has submitted all required reports and/or deliverables?  **(DOR: Sponsored Projects § Post Award Guidance – Subrecipient Agreements)** | |  |  |  |  |
|  | 32. | Does the Principal Investigator verify that the subrecipient has made progress toward the objectives of the scope of work?  **(DOR: Sponsored Projects § Post Award Guidance – Subrecipient Agreements)** | |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **M.** | **ATTESTATION** | | |  |  |  |  |
| The information provided in this Self-Assessment document is true and accurate to the best of my knowledge, as of the date of completion.    Signature/Title Date | | | | | | | |