

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

BUSINESS ADMINISTRATOR HANDBOOK

Table of Contents

1.	<u>BASELINE STANDARDS</u>	3
2.	RECONCILIATION OF COST CENTERS.....	13
3.	PAYROLL.....	21
	a. CHANGE OF ADDRESS, PHONE AND NAME/UH DIRECTORY	
	b. HIRING EMPLOYEES	
	c. LEAVE ACCOUNTABILITY	
	d. PAYROLL FILING PROCEDURES	
	e. PAYROLL VERIFICATION	
	f. PAYROLL CHECKS	
	g. PAYROLL REALLOCATIONS	
	h. PERSONNEL AND PAYROLL CHANGES	
	i. TERMINATING EMPLOYEES	
	j. PAR OUTPROCESSING AND TRACKING	
	k. TIME & EFFORT REPORT (TIME SHEET) POLICY & PROCEDURE	
	l. WORK STUDY EARNINGS PROCEDURES	
4.	TENURE TRACK FACULTY HIRING	60
	a. TO INITIATE A SEARCH	
	b. REQUEST TO MAKE AN OFFER	
5.	NON TENURE TRACK FACULTY HIRING.....	63
	a. INITIAL APPOINTMENT	
	b. REAPPOINTMENT	
6.	TRAVEL.....	65
	a. STEPS FOR PROCESSING ADVANCE	
	b. PAYING BACK ADVANCE	
7.	CASH HANDLING.....	67
	a. GENERAL STATEMENT	
	b. PROCESSING CASH RECEIPTS AND REVENUE CLASSIFICATION	

- c. COMPLETING CASH AND CHECK DEPOSITS
- d. CASH AND CREDIT CARD PROCEDURES FOR RESEARCH STORES
- e. CREDIT CARD PROCEDURES FOR NON-RESEARCH STORES AREAS
- f. GIFT TRANSMITTAL FORMS
- g. GUIDELINES
- h. TIPS

8.	PETTY CASH.....	74
9.	TELEPHONE AND LONG DISTANCE.....	77
10.	PROPERTY MANAGEMENT.....	78
11.	COMPUTING POLICY.....	85
12.	KEY CONTROL.....	88
13.	CONTRACT ADMINISTRATION.....	89

APPENDIX: FORMS

BASELINE STANDARDS

The College of Natural Sciences & Mathematics (NSM) is for the most part decentralized in the sense that all financial transactions (travel, purchase requisitions, purchase vouchers, etc.) are reviewed/approved/certified by the Department Business Administrators prior to leaving the departments. Preparation of financial documents is currently completed within the departments. There are 7 academic departments in the College and 4 institutes.

Financial transactions and Personnel Action Requests for the academic & Dean designated accounts are initiated by the Department Business Administrator and prepared by the Financial Assistant with some preparation done by the Department Business Administrator. Preparation for requests or expenditures for travel, equipment, etc. by college faculty are based upon prior authorization by the Departmental Chair, College Business Administrator or the Dean. Supervisory personnel approve all reimbursements (travel, purchase vouchers, etc.) for personnel under their direct supervision. Under the supervision of the Department Business Administrator, financial documents are prepared by the Financial Assistant, Office Assistant, Secretary, or by Department Business Administrator directly.

EXPENDITURES

Internal Control Objectives Minimum Internal Control Techniques

A. Valid authorization of purchase documents

1. Approval by the proper level of management of established vendors, prices, quality of goods, quantities, and terms.
2. Current prices, vendors, specifications, and terms are made available to requesting units.
3. Minimize the departmental personnel involved in the preparation of purchase documents to those specifically trained on the various purchase regulations.
4. Written approval on a purchase voucher or acquisition by department business manager as to vendors, prices, quality, quantities, and terms by reference to documented data approved by management.
5. Instruct vendors to forward invoices directly to UH Accounts Payable or submit vendor invoices received by departmental personnel directly to Accounts Payable.

Response:

- A. All expenditures are approved by the authorized departmental signature authority.

- B. Items are readily available on the web and in an internal vendor database to maintain division and departmental specific vendor instructions.
- C. Each department has designated purchasing agent.
- D. All purchase requests are approved by the Director/DBA or his/her designee.
- E. Normally all invoices would be forwarded directly to Accounts Payable. The College is currently involved in a pilot program where all payments (including Purchase Orders) are made in the College.

B. Validity of travel expenses

- 1. Preparation of travel and expense reimbursement requests only on the basis of an authorized travel or expense request by a department employee who does not approve the travel or expense.
- 2. Review by department business manager of applicable supporting documentation prior to authorization of travel, or reimbursement request.
- 3. Appropriate management level of additional authorization for foreign travel requests, research related travel, or reimbursement requests of unusually large amounts.

Response:

- A. All travel and expense reimbursement requests must be prior approved by the employees direct supervisor and must have a certifying signature. Travel reimbursements are prepared by support staff.
- B. The appropriate business office staff reviews all supporting documentation.
- C. The College follows University and state guidelines regarding foreign (and all other) travel. Research related travel is approved by the College's Research Administrator according to the granting agency's guidelines and in accordance with the Office of Grants and Contracts. Any unusual reimbursement requests are approved by the Dean.

C. Completeness of recognition of liabilities for goods and services accepted

- 1. Requestor completes receiving report as goods or services are accepted and promptly forwards to Accounts Payable (AP) as authorization to pay vendor.

Response:

- A. Normally, the departmental purchasing agents would verify the receiving report and forwarded it to AP. Under the pilot program, all receiving reports are verified by the purchasing agent and forwarded to appropriate internal personnel for payment.

D. Propriety of account classification

1. Department business manager checks coding on all purchase and travel documents.

Response:

- A. The appropriate business personnel checks all coding on expenditure documents.

E. Validity, completeness and accuracy of recorded balances

1. Department business manager periodically compares PeopleSoft with budgeted amounts and prior periods.
2. The performance of employees who prepare purchase documents is regularly measured and evaluated, and improvement progress is monitored systematically.

Response:

- A. The Director and DBA each month compare PeopleSoft with budgeted amounts and prior periods.
- B. Performance and training of all employees in the business offices are monitored and measured on an on-going basis. Performance evaluations are completed annually.

F. Consistent and efficient responses to inquiries

1. The department business manager is responsible for all travel purchasing and accounts payable related inquiries and is the primary contact person to whom all questions are directed.

Response:

- A. The above responsibility for major inquiries is shared with the Director and DBA's with other business personnel being the point of contact for less urgent and critical issues.

PERSONNEL/PAYROLL

Internal Control Objectives Minimum Internal Control Techniques

- A. Valid authorization of new hires

1. Approval by the proper level of management of selection criteria, (e.g., personnel levels, experience and minimum skills, location, personal integrity, education), compensation rates, and payroll deductions.
2. Communication of selection criteria, compensation rates, and payroll deductions to the departments, EDP, and user officials.
3. Written approval on a Personnel Action Request (PAR) of new hires and payroll data through reference to documented data approved by management (who has no responsibility for payroll preparation).

Response:

- A. All staff positions are filled in the following manner: The departmental chair requests the posting of a vacant position. The Director of Business Operations approves the posting and forwards paperwork to HR via the Provost's Office. Candidates referred by HR are reviewed by the hiring department. Once a selection is made, the Director reviews the recommended finalist and if necessary, equity issues are discussed with the HR. Formal job offers are made subsequent to security clearance and/or HR approval.
- B. All departmental chairs and administrators are aware of the College's hiring policy. The Director is HR's primary contact within the College. The College follows all UH/state/federal guidelines pertaining to hiring all employees.
- C. The College's Central Business Office approves all PAR's.

B. Valid authorization of changes in compensation rates and payroll deductions

1. The department business manager (who does not prepare payroll) documents authorization on a PAR, Mini-Budget or Continuation Authorization Form for (a) additions to, changes to, or deletions from payroll (b) individual wage or salary rates and changes thereto and (c) payroll deductions.

Response:

- A. The Central Business Office approves all the above documents. The Central Business Office does not prepare the payroll documents. The department chair signature is required on all faculty PAR's and then forwarded to the Director for approval.

C. Accurate input of changes to payroll system

1. Changes to the payroll system are processed only with a properly authorized PAR.

2. A department employee who is not responsible for payroll preparation or authorization of payroll changes ensures that all original data and revisions are accurately and completely processed.

Response:

- A. The College is in compliance with #1.
- B. The College is in compliance with #2. The business personnel responsible for payroll/HR (payroll analyst) prepares the PAR's. The DBA reviews the documents for accuracy and completeness. The Central Business Offices authorizes the documents. The payroll analyst checks the Trial Payroll Verification and business personnel responsible for reconciling (Accountant/Financial Coordinator) reconciles to PeopleSoft.

D. Completeness of summarization and validity of payroll

1. College Business Manager uses a check-off sheet to ensure that all time records have been submitted.
2. College Business Manager performs period-to-period comparison of the amounts of recurring entries.

Response:

- A. The payroll analyst verifies all time records have been submitted via the departmental internal database or check-off list and performs the duties of point #2.

E. Propriety of account classification

1. Department business manager checks account coding on time records and posting of payroll to PeopleSoft.

Response:

- A. The Payroll Analyst reviews coding on time sheets upon receipt. The DBA reviews at time of final sign-off. The Trial Payroll Verification report is checked against our database. If corrections are necessary, payroll is immediately contacted and given information to correct the required changes. Follow-up is done by checking the Peoples Soft HR payline to ensure a proper check is generated. And final check is done on the Check Distribution report. The Accountant/Financial Coordinator reconciles payroll activity to PeopleSoft on a monthly basis. The DBA reviews this reconciliation on a monthly basis.

F. Consistent and efficient responses to inquiries

1. The department business manager is responsible for all personnel/payroll inquiries and is the primary contact person to whom all questions are directed.

Response:

- A. The DBA is the primary contact; however, inquiries may also be directed to Payroll Analyst.

CASH RECEIPTS

Internal Control Objectives Minimum Internal Control Techniques

A. Completeness of recording cash receipts

1. Use of departmental pre-numbered and controlled Journal Entry (JE) Form or other documents that are subsequently accounted for, in recording all cash receipts.
2. Receipt of currency and checks performed by someone who does not reconcile cash and is supervised by the department business manager.

Response:

- A. The College's cash policy is very specific about the use of a number log and controlled journal entries. All journal entries are done by the receiving department. Cash deposit receipts are prepared and sent by campus police to the Bursar's Office.
- B. A designated employee handles all cash in each department. All cash is logged by the employee into the departmental database. The Accountant/Financial Coordinator reconciles cash is supervised by the DBA.

B. Propriety of account classification

1. Department business manager checks cost center coding on Journal Entry Forms prior to posting to PeopleSoft.

Response:

- A. The DBA certifies all Journal Entries for accuracy and correctness.

C. Accuracy of summarization of cash receipts

1. Verification of mathematical accuracy of JE's by someone other than the individual who prepares the JE's.

Response:

A. The DBA certifies all Journal Entries for accuracy and correctness.

E. Adequacy of physical safeguards

1. Immediate restrictive endorsement of all checks upon receipt.
3. Adequate physical controls, (e.g., work area layouts, safes, etc.) of cash receipts prior to depositing.

Response:

- A. All checks are restrictively endorsed upon receipt.
- B. It is our goal to deposit all checks/cash within a 24-hour period. All checks/cash are kept in a locked secured area prior to depositing. The College uses the cash bag system to deposit all cash.

F. Timeliness of bank deposits

1. Journal Entries are completed daily for all cash receipts and deposited in accordance with university cash handling policies by persons (this function is handled at the college level) not involved in (a) accounts receivable, (b) accounts payable, or (c) reconciliation to PeopleSoft.

Response:

- A. Journal Entries are completed according to UH policy. See Cash Handling Policy for details.

G. Consistent and efficient responses to inquires

1. The College Business Manager is responsible for all revenue and cash receipts related inquiries and is the primary contact person to whom all questions are directed.

Response:

- A. The DBA is the primary contact for cash receipt questions.

FINANCIAL REPORTING/BUDGETING

Internal Control Objectives Minimum Internal Control Techniques

A. Valid authorization of all financial documents

1. Require all unusual or nonrecurring financial entries to be supported by adequate documentation.

2. The department business manager reviews and approves each nonrecurring entry.

Response:

- A. All unusual or nonrecurring entries are always supported by adequate documentation and require Chair and/or Director signature.
- B. The DBA reviews and approves each non-recurring entry.
- C. The DBA does not participate in entry preparation.

B. Completeness of processing of all financial documents

- 1. The department business manager performs period-to-period comparisons of recurring entries in PeopleSoft.

Response:

- A. The Accountant/Financial Coordinator reviews the PeopleSoft reports on a monthly basis. Based on the PeopleSoft reports and VNet reports prepared by the reconciler, the DBA performs period-to-period comparisons of recurring entries in PeopleSoft. The DBA reviews the reconciled VNet reports on a monthly basis.

C. Accuracy of financial reports

- 1. Investigation of an imbalance in PeopleSoft by appropriate departmental personnel.
- 2. Periodic reconciliation of departmental records to PeopleSoft by an individual who does not handle cash.

Response:

- A. PeopleSoft is reconciled every month by the Accountant/Financial Coordinator in the responsible department. The reconciler follows up on any problems or errors in a timely manner.
- B. The Accountant/Financial Coordinator reconciles the accounts. This individual does not handle cash.

D. Accuracy of budgets

- 1. Senior management communicates its fiscal expectations and all appropriate levels of personnel and faculty are involved in the establishment of annual budgets.
- 2. All revisions to budget cost centers are reviewed and authorized by the College Business Manager.

3. Budget developers are involved in day-to-day activities of the business unit.

Response:

- A. The Dean and Director of Business Operations set's budget and financial expectations prior to each new fiscal year. Each Chair and DBA meets with the Dean and Director prior to finalizing each departmental budget to ensure all expectations are met. A final budget from each department is signed by the Chair and forwarded to the Dean.
- B. All revisions to budget cost centers are reviewed by the DBA and authorized by the Director.
- C. Budget developers are involved in day-to-day activities of the business unit.

E. Timeliness of Budget Information

1. Budgets are finalized prior to the start of the fiscal year.
2. Monthly comparisons of actual to budgeted revenues and expenses are performed and any significant variances are investigated and reported to management (department chair or college/division administrator).

Response:

- A. Budget are finalized and approved prior to the start of the fiscal year by the Dean, Chair and Director.
- B. The Director and DBA does monthly comparisons of budgeted revenues and expenses and reports any variances to the Dean and Chair. Each month the Chair signs the UGL1063 and sends it to the Dean. College distributed budgets to the departments are reconciled monthly and a copy is sent to the Director.

F. Consistent and efficient responses to inquiries

1. College Business Manager is responsible for all financial reporting and budgeting questions and is the primary contact person to whom all questions are directed.

Response:

- A. The Director is the primary point of contact for all financial reporting and budgeting questions. However, inquiries may be directed to the DBA.

Certification of Standards

I, _____
(name and title college or division administrator)

certify that the baseline standards as described in this document are being met.

Signed: _____ Date: _____

Fred McGhee,
Director of NSM Business Operations

Signed: _____ Date: _____

Dr. John Bear,
Dean College of Natural Sciences & Mathematics

8. Enter the salary and fringe information expended for the month and verify that encumbrances are correct based on the remaining salary and fringe to be paid for the remaining encumbered period.
9. In the comment box enter relevant information like “salary entered and paid in October is September and October salary listed together (in the case where salary for two months expended in one period) or “salary entered in July is the reallocation for May through June plus July’s salary (in the case a reallocation was done)”.
10. Once all the salary and fringe are entered, the information can be verified on the account summary screen.
11. Note that fringe is lumped together under Account code 51xx and salary and longevity is lumped together under account code 50xx.
12. Payroll Reallocation forms should be used to remove salaries that may have hit the cost center incorrectly or to move salaries from an incorrect cost center including suspense to the cost center being reconciled. Use the comment box to show what is being done. (See Payroll Reallocation Procedure).
13. If a payroll reallocation will credit or debit the cost center in the future, this must be reflected in the balance by adjusting (or leaving) the encumbrance to reflect the credit or debit.
14. The PI, the employee, and the DBA must sign all payroll reallocations. All payroll reallocations on ledger 5 cost centers must be routed through the Office of Contracts and Grant.
15. Use the third section of the UGL04174.3 to reconcile non-payroll expenditures. The items listed in the actual column with expenditure account codes beginning with 5 are the documents that have posted to the cost center.
16. Although the documents are listed in your database, you may wish to pull each document showing all signatures and attach to the reconciliation form, once completed, and file in this manner for the particular month.
17. Expend document in the database by listing the amount expended and typing the expenditure date as the date of the PS report. Once this is done you may verify whether your figures match the UGL04174 report on the account summary screen by Month, by FY or by Project to date.
18. If there are errors on the UGL04174 report, the appropriate document must be completed to remove the incorrect expenditure. The document used for correction will depend on the cost center involved.

- a. Local to a local - Journal
 - b. State to State - Journal
 - c. Local to State - Voucher
 - d. State to Local - Voucher
19. All reallocation correction documents must have the following backup: a copy of the original document, a copy of the page of the UGL04174 showing the expended document. All reallocations should have the signatures of the PI and the DBA. Ledger 5 corrections must be routed through the Office of Contracts and Grants. (See attached journal correction instructions)
 20. Correction on document expenditures should be reflected in your report as an outstanding amount with the appropriate document number (journal ID, or voucher number)
 21. After expending and correcting entries from the UGL04174, review and verify the balance on the account summary by Month, FY or Project to date.
 22. Check Section 4 of the UGL04174.4 for open commitments. Be sure they are encumbered correctly, including IDC. Fringe is not encumbered by PS.
 23. Check Section 5 of the UGL04174.5 for soft commitments (posted vouchers and journal corrections). Make sure they were not expended before and are actually commitments for the cost center.
 24. On the fiscal year cost centers, check the balance sheet (Section 6) for funds leaving or coming into the cost center. Record/confirm with your budget transfers entered in your database.
 25. On fiscal year cost centers, the current balance plus your encumbrance and outstanding document balance in your database, should be equal to the fund equity in the balance of the current month column.
 26. On fiscal year cost center, check the subledger for budget availability. If budget needs adjusting to increase spending authority or decrease spending authority, budget transfers or budgeting fund balance must be done. (See the attached fund transfer and budgeting fund balance instructions).
 27. On the project cost center ensure that the budget matches the award notice and modification. Pay attention to subcontract awards if any.
 28. Print the department's summary sheet for Projects showing the budget and expenditures for the project. Then print the detail summary by FY Month, or Project, whichever your Administrator or PI prefers. The salary report can only be printed by FY or project period, not by months.

29. Print the summary sheet of fiscal year cost centers by FY, and detail summaries by Month or FY, whichever your Administrator or PI prefers. The salary can only be printed by FY or project period, not monthly.
30. All summary sheets must be signed by the DBA as the reviewer and the PI as receiving.
31. In departments where PIs have a number of cost centers, a summary sheet listing of all the cost centers, end dates, budget (grant), beginning balance (FY account), expenditure, encumbrances and balances, should be completed. The Summary sheet should be attached to the reconciliation reports and given to the PI.
32. Negative cost centers must be cleared immediately by any of the budgeting or correction mechanisms mentioned above in the document.

PART II: COST SHARING

On project cost centers where cost sharing is indicated, the reconciler must maintain an independent spreadsheet that is saved and printed each month to show the cost sharing requirements of the granting agency. Cost sharing is usually done on salary and equipment.

For salary cost sharing, calculate the number of months cost sharing required and the % FTE. Record the amount on a spreadsheet for each of the months for the total cost-sharing amount. Remind PI and payroll to include on monthly time sheet.

For equipment cost sharing, make sure that equipment charged to the grant is charged in the proportion indicated in the cost sharing agreement. Record the amount cost shared and the cost center shared with on cost sharing spreadsheet and print and file with reconciliation as needed.

PART III: MAINTAINING PS COST CENTERS

A list of all departmental cost centers, with their PS and department balance and the name of the responsible PI is maintained and updated by the department using the following PS reports and query:

UGL01016
UGL01064
UGL01065
UHS_CC_LIST
UHS_CC_REVEXP

Grant and contract project cost centers are entered into the department database using the Notice of Award NOA. The notice of award provides the guidelines set by the granting agency and by the A21 for administrating or reconciling the grant.

Reports are printed for project cost centers each month to ensure that expenditures are not posted to closed out projects and to determine which project will end in order to begin the close out process.

Cost centers shared by more than one PI are given sub-cost center values on the department database to track expenditures and balances by PI.

All projects require the signature of the PI or his/her designee in order to incur expenditures. A list of the PI designees with the PI authorizing signature is maintained and updated yearly by the DBA.

Because the department is responsible for signing and monitoring spending on the project cost center, a copy of the guidelines from the sponsoring agency should be kept by reconcilers for easy reference on allowable and non-allowed costs (see matrix of allowable-unallowable cost on projects).

Program cost centers are budget once per year in PCBUD and rolled over to PS to allow spending in the current Fiscal Year.

Programs not budgeted or programs with negative budget balances can be budget or re-budgeted during the fiscal year using the *request to budget fund balance or request to budget new revenue*.

Funds can also be transferred from certain program cost center to another (see attached matrix) or between budget nodes using the *Budget transfer form* to allow spending.

The UGL1064 should be reviewed as needed to determine which programs need budget adjustments.

PART IV: BUDGET TRANSFERS

Budget transfers are done to move funding from one budget node to another within the same cost center or between different cost center. When used with a journal form (in most case this is done by the budget office) it moves the equity from the one cost center to another as well.

Budget Transfer:

1. Print the cost center's UGL1074.1 (Summary) report to determine how much budget is needed and/or how much is available.
2. Obtain the budget transfer form from the [NSM Employee Information Source](#) web page.
3. Complete all sections of the document, and give it a file name beginning with your department code.

4. In the justification box indicate the type of transfer being requested. For example “Move budget from M & O to capital outlay to allow for spending”.
5. On the column labeled “Ledger” select “ORG” (the department is not allowed to budget projects).
6. Fill in the cost center values, the decreasing and increasing budget amount, and the account codes you wish to move budget to and from.
7. Rounded figures must be used for amount.
8. If budgeting salary budget note you must list the position number in the description cell.
9. On the second line of the BAR, fill in the values of the cost center you are moving the budget to. If budgeting between budget nodes in the same cost center, enter the same cost center values. If moving budget from one cost center to another, enter the second cost center values.
10. Your total increase and total decrease must be equal to zero
11. Save and print you BAR. Obtain signatures from the DBA and College Administrator (Fred McGhee) and send electronic and paper copy to the budget office
12. Transfers between certain cost centers are not allowed (see attached list of allowable cost transfers)

PART V: REQUEST TO BUDGET NEW REVENUE/FUND BALANCE

Budget request forms when used with a request to budget new revenue or request to budget fund balance form can increase the budget on a cost center to the amount available in fund balance or to the amount of expected revenue for that Fiscal Year.

Budget Transfer:

13. Print out the PeopleSoft UGL1074.1, UGL1033 and UGL1035 reports for the cost center to determine how much will be budgeted.
14. Go to your saved Budget transfer folder to determine the last Document number used.
15. Obtain the template for budget fund equity or new revenue form from on the [NSM Employee Information Source](#) web page.

16. Give the document a file name beginning with your department code.
17. Fill in the top portion with your information and in the justification box type in what kind of funds you are budgeting (the type of revenue or fund balance).
18. Note that fund balance is anything that was carry forward from the previous year or transferred to your cost center via journal from another cost center's equity balance. New revenue can be fees deposited (check cost center for correct account code) or monies from an endowment (check for correct account code) or direct gifts or checks (again check account code).
19. Put in your cost center values, increasing budget amount and account codes you want to move budget to and from.
20. Rounded figures must be used for amount.
21. In the appropriate description box type in your comment. If funding salary, list the position number/s.
22. On the next line you will fill in the appropriate information for the cost center you are moving the budget to. Or if budgeting between nodes in the same cost center, enter the same cost center values.
23. Your total increase and total decrease must be the same.
24. Save and print. Attach all back up and obtain signatures from the DBA, Director of Business Services (Fred McGhee) and Dean. Signed copies then go the Provost for signature and further routing. Remember to keep a copy to put in cost center folder.
25. Transfers between certain cost centers are not allowed because of the fund codes. Attached is a list of allowable cost transfers

PART VI: NON-PAYROLL CORRECTION

Further details to come.

PART VII: LIST OF REPORTS

Attached is a table containing the purpose, and PS navigation for the reports listed below. The reports provide the information necessary for reconciling, correcting and maintaining the departmental cost centers.

UGL01016 UGL01033 UGL01058 UGL01064 UGL01065 UGL01074 Payroll
accountingUPAY078 Journal Details Report. Navigation to come.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

PAYROLL DESK MANUAL

TABLE OF CONTENTS

1	CHANGE OF ADDRESS, PHONE, AND NAME.....	2
	UH DIRECTORY SERVICES	2
2	HIRING EMPLOYEES	3
	Hiring Procedure Summary	
3	LEAVE ACCOUNTABILITY	
	Leave Request Policy & Procedure	5
	Leave Reconciliation Procedures.....	9
4	PAYROLL FILING PROCEDURES	
	Payroll Files	10
	Personnel Files	11
5	PAYROLL VERIFICATION	
	Payroll Verification Policy.....	12
	Payroll Verification Procedure.....	13
	Supplemental (Off-Cycle) Check Verification.....	18
6	PAYROLL CHECKS	
	Paycheck Distribution.....	19
	Unclaimed Checks	20
	Stale Dated Checks	21
	Voided Checks	21
7	PAYROLL REALLOCATIONS	23
8	PERSONNEL AND PAYROLL CHANGES	24
	Additional Compensation	25
9	TERMINATING EMPLOYEES	26
10	PAR OUTPROCESSING AND TRACKING.....	28
11	TIME & EFFORT REPORT (TIME SHEET) POLICY & PROCEDURE.....	29
12	WORK STUDY EARNINGS PROCEDURES	33

APPENDIX

- 1 PAY PERIOD SCHEDULE AND PAYROLL SCHEDULE
- 2 APPENDIX FORMS
- 3 MAPP POLICIES
- 4 SAM POLICIES
- 5 UPDATES/MEMOS

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

CHANGE OF ADDRESS, PHONE, & NAME

PURPOSE To ensure accurate changes to employee personal information.

REFERENCES Department Procedures, Human Resources Procedures, Accounts Payables Procedures

Step 1 Employee must complete a ***Personal Data Sheet***, sign it, and submit it to the Front Desk Receptionist.

Note: Benefits eligible faculty and staff must also provide these changes separately to their retirement plan by completing a form available in the Human Resources Office.

Step 2 Front Desk Receptionist will:

- a. Update the department directory with the new information.
- b. Prepare the PeopleSoft ***Employee Information Sheet***. Proofread and sign.
- c. Make a copy of the ***Employee Information Sheet***:
 - a. Originals: Send to Human Resources.
 - b. Copy: File in the employee personnel file.
- d. Prepare a ***Vendor Set Up Form*** with new address (*for faculty, staff, and graduate students who have a PeopleSoft Vendor ID only*). Fax the Vendor Set Up Form to the Accounts Payable Department.

UH ONLINE DIRECTORY

PURPOSE To update the UH Online Directory.

Step 1 To update employee department information in the UH Directory, refer to [Procedure for Corrections Online](#) in the appendix.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

HIRING POLICIES

PURPOSE To ensure employees are hired in accordance with UH and System policies.

REFERENCES [MAPP 02.03.03](#)

- All newly hired males ages 18 to 25 must be registered with Selective Service. The individual cannot be hired until registration has been verified.
- An employee with university debt cannot be hired until the debt is cleared.
- Faculty and staff total FTE cannot exceed 1.0 unless prior approval has been obtained (via an Additional Compensation form).
- Graduate student total FTE cannot exceed .50 without prior approval from the Office of Graduate Studies (via an Additional Compensation form).
- International employees must provide proof of eligibility to work in the U.S. and a valid social security card (or a receipt showing that it was applied for) before the employee can be assigned to a position.
- All new employees must complete sign-up in the department no later than three days from the employment start date. At sign-up, the employee will complete certain forms and provide documents and identification required for employment.
- New benefits-eligible (20 hours/week or more) employees must attend New Employee Orientation. New staff employees should schedule orientation on their first day of employment. Faculty Orientation is conducted annually at the beginning of the fall semester through the Office of the Senior Vice President for Academic Affairs and Provost. Faculty unable to attend fall faculty orientation must attend staff orientation offered throughout the year.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

HIRING PROCEDURES

PURPOSE To ensure employees are hired in accordance with UH and System policies.

REFERENCES [MAPP 02.03.03](#), [Provost Procedure on Faculty Hiring](#)
[MAPP 05.03.01](#) Employee Financial Responsibility

PROCEDURES

PART I: HIRING PROCEDURE SUMMARY

PART I: HIRING PROCEDURE SUMMARY

- Step 1 The Hiring Authority (Faculty P.I., lab supervisor, etc) must:
1. Complete a Payroll Assignment Form and submit it to the DBA *prior* to making a hiring commitment.
- Step 2 The employee must:
1. Complete sign-up in the Department no later than the first day of employment.
 2. New Benefits Eligible Employees must attend New Employee Orientation.
 3. New non-benefits eligible employees must schedule State of Texas EEO Training with the department.
- Step 3 Department Staff will:
1. Process the required visa documents for international employees.
 2. Refer to the Payroll Assignment Process Checklist in the appendix for completion of payroll paperwork and verifications. Additionally, staff must follow the applicable procedures outlined in the [Faculty Hiring Manual](#), [Research Staff Hiring Manual](#), [Personnel Action Processing Manual](#), and [College Work Study Manual](#).
 3. Refer to the PAR Out processing and Tracking Section.
 4. Register new benefits eligible employee for New Employee Orientation on or before the first day of employment. Register via email to hrtraining@uh.edu.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

LEAVE REQUEST POLICY

PURPOSE To ensure leave requested and taken are in accordance with UH and department policies.

REFERENCES MAPP 02.05.02, 01.03.01

POLICY

PART I: VACATION LEAVE
PART II: SICK LEAVE
PART III: OTHER LEAVE
PART IV: RECORDING LEAVE

PART I: VACATION LEAVE

New benefits-eligible employees (exempt and non-exempt) are not eligible to take vacation until they have completed 6 months of continuous employment with the state of Texas. Vacation leave must be requested via a Leave Request form. The Leave Request form must be approved by both the immediate supervisor (if applicable) and the Department Business Administrator (or Chair in the absence of the DBA).

Request for vacation time of less than one week should be submitted at least three (3) working days in advance. Request for vacation time of more than one week should be submitted at least five (5) working days in advance. More advance notice may be required for leave taken during holidays, such as Thanksgiving, Christmas and New Year.

Every effort will be made to grant vacation as requested. However, if an employee's absence presents a problem with his/her job coverage or would result in under-staffing for a particular area due to other staff leaves previously approved, the employee may be asked to reschedule vacation time.

Requests for vacation leave not made in accordance with this policy will be reviewed on a case by case basis. Failure to submit a vacation request within the appropriate lead time may result in denial of the request. If the short notice presents a problem with job coverage, the employee may be asked to schedule vacation at a later time.

PART II: SICK LEAVE

Employees are entitled to use their accrued sick leave hours for personal illness or for the illness of immediate family members. Immediate family

is defined as those individuals who are related by kinship, adoption, or marriage living in the same household as the employee or, if not in the same household, are totally dependent upon the employee for personal care or services on a continuing basis.

Sick leave may be used for doctor appointments for oneself or immediate family.

Advance approval for sick leave should be obtained if possible, such as for doctor appointments. Otherwise, a leave request form must be submitted on the employee's first day back to work.

The Department may request a doctor's statement when sick leave is taken for three or more consecutive days, or on a Friday or Monday.

PART III: OTHER LEAVE

A Leave Request form should be submitted in advance for all other types of leave, including but not limited to, jury duty, military leave, bereavement leave.

PART IV: RECORDING LEAVE

Employees must accurately record all approved leave taken on the corresponding Time & Effort Report (time sheet).

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

LEAVE REQUEST PROCEDURES

PURPOSE To ensure leave is documented and approved in accordance with UH and department policies.

REFERENCES MAPP 02.05.02, 01.03.01

PROCEDURES

PART I: THE LEAVE REQUEST PROCESS
PART II: VACATION LEAVE
PART III: SICK LEAVE
PART IV: OTHER LEAVE

PART I: THE LEAVE REQUEST PROCESS

All benefits eligible staff must complete a Leave Request form. The process is as follows.

Step 1 Employee must complete a Leave Request Form.

Step 2 Employee must obtain supervisor's approval and signature.

Step 3 Employee must submit the Leave Request form to the DBA.

Step 4 DBA will verify employee's leave balances and approve or disapprove of the requested leave.

Step 5 A copy of the Leave Request form will be placed in the employee's mailbox. The original will be filed in the Leave Request folder of the pay period. If the leave request is for multiple pay periods, a copy will be placed in each pay period's leave request folder.

Step 6 Employee must accurately record the actual leave hours taken on the time sheet for pay period in which the leave took place.

PART II: VACATION LEAVE

Request for vacation time of less than one week should be submitted at least three (3) working days in advance.

Request for vacation time of more than one week should be submitted at least five (5) working days in advance. More advance notice may be

required for leave taken during holidays, such as Thanksgiving, Christmas and New Year.

Prior to leaving for vacation, employees should inform the DBA of the status of pending work and of any work that needs to be completed during the employee's absence.

PART III: SICK LEAVE

Step 1 Employee must complete a Leave Request Form when advance knowledge of sick leave is known, such as for doctor appointments.

Step 2 When advance notice is not possible, employee must do all of the following:

- a) Contact immediate supervisor by phone to inform of absence and expected length of absence, and of any urgent work duties that need to be handled during the employee's absence.
- b) Call the Department Office and provide the same information as in the above paragraph.
- c) Upon return to work, employee must complete a Leave Request Form and attach a doctor's statement if required.

PART IV: OTHER LEAVE

Employee must complete a Leave Request Form for all other types of leave (jury duty, bereavement leave, military leave, etc.) as much in advance as possible.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

LEAVE RECONCILIATION PROCEDURES

PURPOSE To ensure accurate leave balances for benefits eligible employees.

REFERENCES [MAPP 01.03.01](#), [02.05.02](#)

RESPONSIBLE PARTY Designated departmental administrative staff

FREQUENCY Biweekly and Monthly

PROCEDURES

Step 1 Create a computer file for both monthly and bi-weekly employees containing a separate spreadsheet for each employee having the following information.

<u>Header:</u>	<u>Body:</u>
<ul style="list-style-type: none">• Name• Position• Empl ID• Cost Center• Rate of pay• Carryforward Vacation Hours• Carryforward Sick Hours	<ul style="list-style-type: none">• Pay Period ID• Vacation Taken• Vacation Earned• Vacation Balance• Sick Taken• Sick Earned• Sick Balance• Other Taken• Other Description• Date Leave verified in PS

Step 2 Each pay period (biweekly and monthly), enter the number of leave hours taken in each category.

Step 3 Each month, run a Leave Accrual Report from PeopleSoft. Verify the leave balance shown on the department computer file to the leave balance shown on the accrual report.

Note and investigate any discrepancies. Report discrepancies to payroll via email or fax. Retain a copy of the report as backup.

Step 4 Sign and date the Leave Accrual Report to verify reconciliation was conducted and discrepancies were noted.

Step 5 Submit the Leave Accrual Report to the DBA for signature.

Step 6

File the Leave Accrual Report in the appropriate month's folder of the LEAVE RECONCILIATION files located in the Payroll Coordinator's office.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

PAYROLL FILING PROCEDURES

PURPOSE To ensure an efficient filing system for payroll documents and to maintain documents as required by the university’s policy on record retention.

REFERENCES MAPP 02.05.02
Texas State Records Retention Schedule:
<http://www.tsl.state.tx.us/slr/recordspubs/rrs2.html> - 3.1

PROCEDURES
PART I: PAYROLL FILES
PART II: PERSONNEL FILES

PART I: PAYROLL FILES

Step 1 The following payroll file sections are maintained in a file cabinet in the Payroll Coordinator’s office:

File Section	Hanging Folder	Manilla folder	Contents
BIWEEKLY PAYROLL FILE DRAWER	One for each pay period B22, B23, etc	<ul style="list-style-type: none">▪ Time Sheets▪ Leave Request Forms▪ Check Registers▪ Payroll Verification Reports	As labeled
MONTHLY PAYROLL FILE DRAWER	One for each pay period M20, etc	<ul style="list-style-type: none">▪ Time Sheets▪ Leave Request Forms▪ Check Registers▪ Payroll Verification Reports	As labeled
OFF-CYCLE (SUPPLEMENTAL) PAYROLL FILE		<ul style="list-style-type: none">▪ Off-Cycle Check Registers: (Month) One for each month, September to August	Off-cycle check registers
LEAVE RECONCILIATION FILE DRAWER		<ul style="list-style-type: none">▪ Leave Reconciliation: (Month) One for each month, September to August	Leave Accrual Report and Lost Time Reconciliation

Step 2 At the end of each fiscal year, the payroll folders should be archived and a new set of folders created for the upcoming year.

Step 3 Archived folders are to be maintained for four (4) years.

PART II: PERSONNEL FILES

Step 1 Department must identify current and inactive employee filing areas. Files for all employees who are currently employed should be kept in a “current” file drawer. Files for employees who have been terminated should be archived to an “inactive” file drawer for five (5) years after termination.

Step 2 Set up employee files as follows:

- Create a hanging file folder for each employee.
- Create manilla file folders to place inside each hanging file as follows:

Folder Name	Contents	Students, Non Ben, & Temp Employees	Benefits Eligible Staff	Benefits Eligible Faculty
PAR	1) PAR's 2) Faculty Folder for non-tenure track faculty	X	X	X
Evaluations	1) Performance evaluations	n/a	X	X
Miscellaneous	1) Correspondence 2) Miscellaneous documents 3) Key request forms		X	X
Hiring/Salary	1) New Hire paperwork (application, offer letter) 2) Copies of annual salary memos and other salary related correspondence 3) Termination paperwork (resignation letter, termination clearance, etc)		X	X
Counseling	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal or substance abuse problems.		As needed	As needed

Step 3 **FILING ORDER:** Documents are filed in date order with the most current document in front.

Step 4: **LABELS:** Labels should be in the Format:

Last Name, First Name: <<FolderName>>

- Doe, Janet: PAR
- Doe, Janet: Evaluations
- Doe, Janet: Miscellaneous
- Doe, Janet: Hiring/Salary

Retention Schedule: *PAR's-2 yrs, Employment applications (resumes, transcripts, etc)-5 years; Evaluations-2yrs; Counseling records-5yrs*

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

PAYROLL VERIFICATION POLICY

PURPOSE To outline procedures for verifying payroll information in order to ensure timely and correct payment and leave accounting. This includes verifying the following:

- a) accurate reporting and posting of all leave taken,
- b) accurate completion of time sheets and timely submission of all time sheets to the Payroll Department,
- c) accurate payment of employee paychecks.

REFERENCES [MAPP 01.03.01](#), [02.05.02](#), [02.01.03](#)
POLICY

Departments will maintain procedures to verify the following payroll activities.

LEAVE ACCOUNTABILITY

- Leave must be documented on leave request forms.
- Leave must be approved by appropriate level of management.
- Copies of leave request forms must be maintained in the department.
- Leave must be reconciled to the payroll system.

TIME & EFFORT REPORTS (Time Sheets)

- Time sheets must be accurately completed.
- Time sheets must have employee's and supervisor's signature.
- All time sheets must be accounted for.
- Time sheets must be submitted to the Payroll Department by due date.
- Copies of time sheets must be maintained in the department.
- Employees account for 100% of their time during regularly scheduled workdays in an accurate and timely manner.

PAYROLL VERIFICATION

Time sheets must be reconciled to university payroll verification reports and to check registers.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

PAYROLL VERIFICATION PROCEDURES

PURPOSE To ensure leave and payroll information is accurate.

REFERENCES MAPP [01.03.01](#), [02.05.02](#), [02.01.03](#)

RESPONSIBLE PARTY Designated departmental administrative staff

FREQUENCY Biweekly and Monthly

PROCEDURES

- I. CREATION AND MAINTENANCE OF A COMPUTER FILE
 - II. VERIFICATION OF PRINTED TIME SHEETS
 - III. DISTRIBUTION OF TIME SHEETS TO EMPLOYEES
 - IV. VERIFICATION OF COMPLETED TIME SHEETS AND SUBMISSION TO PAYROLL
 - V. TRIAL PAYROLL VERIFICATION
 - VI. FINAL PAYROLL VERIFICATION
 - VII. PAYCHECK VERIFICATION (Payday)
-

PART I. CREATION AND MAINTENANCE OF A COMPUTER FILE

Create and maintain a computer file for all biweekly employees. Update it as personnel changes are made.

PART II. VERIFICATION OF PRINTED TIME SHEETS FOR ALL EMPLOYEES

Time sheets are printed and distributed to the College. The College distributes them to departments.

Step 1 Gather the following:

- Time Sheets
- Department's BiWeekly Employee Roster
–OR– Department's Monthly Time Sheet Checklist

Step 2 Using the Department's Biweekly Employee Roster or the Monthly Time Sheet Check List for the pay period, compare the following information:

- Name Position # Rate of Pay

If any of the information is inaccurate, notify the DBA. Corrections are to be made as indicated in MAPP Policy 02.05.02 Section VIII.

If a time sheet is missing for an employee, the department must print one.

- Step 3 Place a check mark in the appropriate column of the department roster or checklist to indicate that a time sheet has been printed for the employee and is correct.

PART III. DISTRIBUTION OF TIME SHEETS TO EMPLOYEES

- Step 1 Make copies. Make a copy of the time sheets before distributing to employees and place the copies in the pay period folder in Payroll Coordinator's office.

- Step 2 Distribution of Time Sheets.

Time sheets will be distributed as follows:

- ❑ *Faculty and department office staff* time sheets will be placed in their mailboxes.
- ❑ *All student and non-office staff* time sheets will be placed in a binder at the front desk. These employees must go to the front desk to sign their time sheets.

- Step 3 Send Reminder Notice. Email employees to inform them time sheets are ready to be signed and provide the due date.

PART IV. VERIFICATION OF COMPLETED TIME SHEETS & SUBMISSION TO THE PAYROLL DEPARTMENT

Important Note: Once the time sheet has been signed and submitted by the employee, it cannot be returned to the employee if it has a supervisor's signature on it.

- Step 1 Gather the following:

- Employees' signed time sheets
- Department's Monthly Time Sheet Check List **or** Biweekly Employee Roster
- Leave Request forms for the pay period
- Supervisor Time Sheet Signature Folders

- Step 2 Verify employee signature. When employee returns his/her signed time sheet, verify that employee has signed it, and then place a check mark in the "Time Sheet Signed" column of the Monthly Time Sheet Check List or Biweekly Roster.

- Step 3 Verify Time & Effort Reporting for Sponsored Projects and Other Activities. Supervisors must verify accuracy of percent of time reported by employees on sponsored project or other activity. Department staff must verify that percentages of effort are being report and that the total of all percentages reported is equal to 100.
- Step 4 Verify Leave. Check each time sheet to see if any leave hours are reported. If so, attach the approved leave request. If there is no approved leave form, contact the employee to resolve the discrepancy.
- Step 5 Obtain supervisor signature. Place the time sheets in the supervisor's *time sheet signature folder* and place in the supervisor's box. Send email to all supervisors that time sheets are in their boxes and are due back immediately.
- Step 6 Verify supervisor signatures. When supervisors return the time sheets, verify that all signatures are there, employee and supervisor(s). Note that some employees have multiple assignments. If so, make sure that both supervisors have signed. If not resubmit to the supervisor who did not sign.
- Step 7 Obtain DBA signature (Biweekly Time Sheets only). Submit all biweekly time sheets to the DBA for certifying signature.
- Step 8 Place a check mark in the "Time Sheet Submitted" column to indicate that the time sheet is completed and signed and being sent to Payroll.
- Step 9 If any time sheets are missing, contact the employee.
- Step 10 Make copies. Make a copy of all time sheets and submit to Payroll Data Entry clerk for recording of lost time.
- Step 11 Hand Deliver Original Time Sheets to Payroll. Hand deliver time sheets to the Payroll box in the basement of E. Cullen before the deadline, which is usually noon on the date due.
- Step 12 Data enter hours in the Biweekly Employee Roster. (Biweekly time sheets Only)
1. Input hours – enter the total number of hours reported by category (regular hours, sick leave, vacation, etc) in the Biweekly Employee Roster for the pay period.
 2. Print the Biweekly Employee Roster and file in the Payroll Verification Folder of the pay period.
- Step 13 Data enter lost time in the Lost Time Register. Stamp "Entered" on the time sheet copy.

Step 14 File the time sheet copies in the pay period folder. Be sure that leave request forms are attached to the matching time sheet.
File the Roster in the Payroll Verification folder.

Step 15 If time sheets are submitted after the deadline, a memo from the DBA and signed by the Chair must be accompany the time sheet.

PART V. TRIAL PAYROLL VERIFICATION

Each pay period, HR will notify departments when the trial payroll report is ready to be run. Additionally, the trial run dates are listed on the payroll calendar.

Step 1 Gather the following:

- Print the Trial Payroll Verification Report
- Get the Department's Biweekly Roster **or** Monthly Roster

Step 2 Verify Trial Report for accuracy.

1. Using the Employee Roster, verify the following information against the Trial Payroll Report:

Name, Rate, Gross pay

2. **Place a check mark** on the **Trial Payroll Report** next to name and/or amount to indicate the information is accurate.

3. If there are any discrepancies, notify the DBA and resolve it before the trial verification deadline. **MAKE SURE TO MAKE A NOTE OF BOTH THE DISCREPANCY AND THE RESOLUTION ON THE TRIAL PAYROLL REPORT.**

4. Add to the Trial Report the names of any employees who are missing.

Step 3 Sign and date the Trial Payroll Report. Obtain DBA signature also.

Step 4 File the Trial Payroll Report and the Employee Roster in the "Payroll Verification" folder of the pay period.

PART VI. FINAL PAYROLL VERIFICATION

Each pay period, HR will notify departments when the final payroll report is ready to be run. Additionally, the final run dates are listed on the payroll calendar.

Step 1 Gather the following:

- Print the Final Payroll Verification Report.

- Get the Trial Payroll Report from the Payroll Verification Folder of the Pay Period.

Step 2 Compare the Final to the Trial to make sure that the information matches and that any changes requested to the Trial appear on the Final. Place a check mark on the Final if all info is accurate. Make a note on the Final of any discrepancies.

Step 3 Sign and date the Final Payroll Report. Obtain DBA signature also.

Step 4 File the final payroll report in the “Payroll Verification” folder of the pay period.

PART VII. PAYCHECK VERIFICATION (Payday)

Each payday, the college will notify departments when paychecks are ready to be picked up. Departments will be given the following:

Checks:

- Direct Deposit Pay Stubs
- Actual paychecks

Check Registers:

- “Advice Signature Register” for direct deposits
- “Check Signature Register” for actual paychecks

Step 1 Gather the following:

- Checks
- Check Registers
- Final Payroll Verification Report.

Step 2 Verify Checks Match Registers. Compare the Check Registers to the paychecks and direct deposit slips to ensure a paycheck or Direct Deposit slip is attached for each employee listed on the register.

Step 3 Verify the Paycheck against the Final Payroll Report.

1. Using the **Final Payroll Report**, verify that a paycheck has been received for each employee and the amounts are correct.
2. Place a **check mark** next to the employee name **on the Final Payroll Report** to indicate that the paycheck is accurate.

Step 4 Sign and date the “Reviewed by” section of each Check register.

Step 5 File actual Paychecks in a Check Pick Up Folder. Place the Check Register and paychecks in an appropriately labeled check pick up folder.

- Step 6 Distribute Direct Deposit Slips. Place the direct deposit slips in envelopes and place in employee mailboxes.
- Step 7 Direct Deposit Register Approval. Place the Direct Deposit Register in the DBA box for signature.
- Step 8 Distribute Checks. Follow procedures for check distribution as outlined in the **“Paycheck Procedures”** section.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

PAYROLL CHECK PROCEDURES

PURPOSE	To ensure payroll checks are distributed and handled in accordance with university policy.
REFERENCES	SAM 03.D.04
RESPONSIBLE PARTY	Designated departmental administrative staff
FREQUENCY	Biweekly and Monthly
PROCEDURES	PART I: PAYCHECK DISTRIBUTION PART II: UNCLAIMED CHECKS PART III: STALE DATED CHECKS PART IV: VOIDED CHECKS

PART I: PAYCHECK DISTRIBUTION

Once checks are generated, the Treasury Department releases them to the Divisions/Colleges, which in turn notifies the departments when checks are ready to be picked up.

Step 1: Once paychecks have been verified as per the Department's payroll verification procedures, the checks can be released to employees.

Step 2: Checks will be available for pick up from the Payroll Coordinator or other designated staff member. Direct Deposit statements will be placed in employee mailboxes.

Step 3: Employee must sign the Check Signature Register when picking up the check.

If an employee is unable to pick up the check, an authorized person may be designated or a request to mail the check may be submitted.

- a) Authorizing a designated person to pick up the check:
- Employee must provide written and signed statement, or email, authorizing an individual to pick up the check.

- The authorized person must present the statement and picture identification to the department staff.
- The authorized person must sign his/her name on the Check Signature Register.
- The signed statement, or email, will be attached to the Check Signature Register.

b) Request to mail check:

- A written request must be sent to the Payroll Coordinator or DBA. The request must include the address to where the check is to be mailed. The request may be in writing with employee signature, or by email.

Step 4 After 10 days, submit the Check Signature Register to the DBA for signature.

All checks not picked up after 10 business days will be returned to the Treasury Office. (Refer to the “Unclaimed Checks” section for the procedure for returning unclaimed checks.)

Step 5 After the DBA signs the Check Signature Register, make a copy for the Check Register folder of the pay period. Send the original to Treasury.

PART II: UNCLAIMED CHECKS

Checks not picked up from the department within 10 days will be returned to the Treasury Office, Room 10F of E. Cullen.

Unclaimed checks will be available for pick up from the Treasury Office, Room 10F of E. Cullen, until the check becomes stale dated (over 90 days old). Employees must present picture identification to pick up the check.

The Payroll Coordinator must return the check(s) following these steps:

Step 1 Write “Unclaimed—Returned to Treasury” on the signature line of the Check Register.

Step 2 Count the number of checks being returned to Treasury and write the number on the appropriate line of the Check Signature Register. Sign and date the Check Register.

Step 3 Submit the Check Register and checks to the DBA for approval.

Step 4 After the DBA signs the Check Signature Register, make a copy of the register and the checks for the Check Register folder of the pay period. **Hand deliver** the originals to Treasury, E. Cullen Room 10F. Do not place them in the mailboxes.

Step 5 Record the check details in the Cash/Check Log: “Returned Checks” section.

Step 6 Prepare an “Unclaimed Payroll Check” notice for each employee whose check was returned and place in the employee’s mailbox. See attached sample.

Step 7 File the Check Signature Register and check copies in the “Check Register” folder of the Pay Period ID or in the supplemental check section, whichever is applicable.

PART III: STALE DATED CHECKS

Checks over 90 days old are stale dated and sent to the Bank Records Department in General Accounting.

A written request to reissue a stale dated check must be made to the Payroll Department. The request must include name, social security number, check date, check amount, and pay period.

Once the check is reissued, it will be routed through the normal paycheck channels (from Treasury, to the College, to the Department).

PART IV: VOIDED CHECKS

VOIDED DIRECT DEPOSITS

Direct deposits processed in error must be voided. The Department must make the request to the Payroll Office, Rene Chang, X3-8773.

If a request to void a direct deposit check is made to Payroll within 3 days of the check issue date, the deposit will be reversed.

If a request to void a direct deposit check is made to Payroll more than 3 days after the check issue date, it cannot be reversed and the check will be credited to the employee’s bank account. Return of the paycheck will be handled as follows:

- A. For employees still employed at UH, the employee’s next paycheck will be docked for the amount of overpayment.

- B. For employees no longer employed at UH, follow these steps:

- Step 1 Request a Payroll Payback form from Rene Chang in Payroll. She will send you the Payback form which will indicate the total amount due from the employee. Send a copy of it to the former employee requesting payback. The former employee must write a personal check payable to the University of Houston and return it to the attention of the DBA.
- Step 2 Upon receipt of the check from the employee, the check should be handled following the **Cash Handling Procedures**.
- Step 3 The Payback form must be signed by the supervisor and the cost center to be credited must be verified.
- Step 4 Make a two (2) copies of the check and Payback Form for department records. File one in the Check Register folder of the pay period, and place the other copy in the data entry box to be filed in the cost center folder.
- Step 5 Send the check and the Payback form to Rene Chang, Payroll. Deliver it to the Payroll box in E. Cullen.

VOIDED PAYCHECKS

Payroll checks issued in error or incorrectly must be voided by the Department and returned to Payroll.

- Step 1 Prepare a cover memo as in the attached sample.
- Step 2 Write “VOID” in bold letters on the check. Cut out the signature.
- Step 3 Write “VOID-Returned to Treasury” on the signature line of the appropriate Check Register.
- Step 4 Make a copy of the memo and the check.
- Step 5 File the copies in the Check Register folder of the pay period folder.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

PAYROLL VERIFICATION PROCEDURES FOR SUPPLEMENTAL CHECKS

PURPOSE To ensure validity and accuracy of supplemental checks.

RESPONSIBLE PARTY Designated departmental administrative staff

FREQUENCY As needed

When an off-cycle check is received, verify the checks as follows:

- Step 1 Identify the pay period(s) for which the check was generated. Obtain the pay periods by searching the check number in the Paycheck Data panel of PeopleSoft HRMS. Record the Pay Period ID on the Check Register.
- Step 2 Pull the Payroll Verification reports of the pay periods identified in Step 1.
- Step 3 Verify that the check is due to the employee by comparing it to the payroll verification reports.
- Step 4 Verify the amount. Place a check mark next to the employee's name on the Check Register after it is verified.
- Write the check date in the "Supplemental column of the roster.
- Step 5 Make a copy of the Check Register and paychecks and file in the Off-Cycle (Supplemental) folder of the pay end date month.
- Step 6 Place the check register, paychecks, and copies in the check pick up folder for Supplemental paychecks.
- Step 7 After 10 days of check receipt date, pull the Check Register and paychecks (if any), and prepare for return to Treasury. Make a copy of the signed Check register for the Off-Cycle Folder. If there are checks which have not been picked up, return them to Treasury following the instructions for unclaimed checks as outlined in the "Paycheck Procedures" section.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

PAYROLL REALLOCATION PROCEDURES

PURPOSE To ensure payroll expenses are posted correctly.

PROCEDURES PART I: REQUIREMENTS
PART II: STEPS

RESPONSIBLE PARTY Designated departmental administrative staff

FREQUENCY as required

PART I: REQUIREMENTS

- ❑ Departments must ensure that payroll reports are reviewed monthly. Any incorrectly posted payroll must be reallocated within 90 days of the transaction date.
- ❑ Departments must run the PeopleSoft payroll fiscal year suspense report monthly and process required reallocations.
- ❑ Reallocations from university suspense accounts.
 - Reallocations from sponsored funds must be submitted on the standard Payroll Reallocation form and routed to the Office of Contracts and Grants for approval.
 - Reallocations from non-sponsored funds may be submitted to payroll on the suspense report by providing the speed type and account code.

PART II: STEPS

Payroll Reallocations are done when an employee is paid on the incorrect cost center. The reallocation, when processed, will credit the cost center originally debited to and correctly debit the cost center the PI or department requested that it should be paid from. A payroll reallocation can be initiated from the suspense report and a cost center reconciliation.

- Step 1. If it is determined that an employee's salary and or fringe benefits was incorrectly charged to the wrong cost center more than 90 days prior to the

current date, you must do a letter of justification (to Lee Boozer for grants and to Director of NSM Business Operations for non-grants for further approval) explaining why you are requesting that the reallocation be processed and how the department is working to fix this.

- Step 2. To figure the 90 day period, look at the end date for the check and the current date. If 90 days or more has passed you must do a letter of justification.
- Step 3. Reallocations for research grants will not be allowed over the 90 day period.
- Step 4. Reallocations to remove salary and fringe over 90 days from a research grant to a non-grant will be allowed with a letter of justification.

Gathering Information

- Step 1. When you have determined that a payroll reallocation should be processed there are 2 forms that you will need.
- Step 2. The first form is Crystal Reports for PeopleSoft. This is a program outside of your normal way of opening PeopleSoft. However, you will need to log in with your PS password when opening this crystal program. Please see your Department Administrator for a copy of this program. This report will give you a breakdown of what earning code was used and what cost center was debited. You will attach this form to the actual Payroll Reallocation.
- Step 3. The second form you will need is the actual Payroll Reallocation form downloaded from PeopleSoft Human Resource. This form will also give you the cost center that the salary and fringe benefits were debited to. You will fill in the information for the cost center to debit and what position number should be debited.

Payroll Reallocation Approvals

- Step 1. The Department Business Administrator will check and approve reallocations first.
- Step 2. After you have the approval of the DBA, you will need to have the supervisor of the employee whose salary and fringe you are reallocating approve this credit or debit. The supervisor is usually the PI of the cost center that will be debited or the cost center manager.
- Step 3. The employee will need to sign.
- Step 4. Forward the originals to the Dean's Central Business Office. When returned, for reallocations that will either debit or credit a research grant, you will need to send the original reallocation to the Office of Contract and Grants. Remember to make a copy of the reallocation before you send the forms to OCG. For non-grant reallocations, send the payroll reallocations to Patricia Howard – AP 0900.
- Step 5. For suspense report reallocations if you are moving from a non-grant to a non-grant the only signature required is the DBA.

Correcting where employees are paid from

To eliminate the need to do a payroll reallocation in the next month you will need to correct the funding source the position is paid from.

- Step 1. First determine if the employee was paid on the correct position. If not you will need to do a PAR to put him or her on the correct position.
- Step 2. You will need to check the department records for the Position Request done for the employee.
- Step 3. You will need to check how the position is set up on the PeopleSoft Department Budget Table. If it is determined that the Position Request (PR) has not been processed it will be in your best interest to email the Budget office and to fax a copy of the PR with signatures. If you need to create a PR, remember your departmental rules of moving positions from one cost center to another.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

PERSONNEL & PAYROLL CHANGES

PURPOSE To ensure payroll changes are in accordance with university policy.

RESPONSIBLE PARTY Designated departmental administrative staff

FREQUENCY as required

- ❑ Payroll changes to active assignments should be done in writing by the supervisor via a Payroll Assignment Form or via email to the DBA.
- ❑ Prior to the start of each semester, Departments should provide supervisors with a payroll spreadsheet listing all active payroll assignments. Supervisors will verify and make necessary changes. The spreadsheet is to be completed, signed, and returned to the DBA by the due date.

The following information is contained in the spreadsheet:

Assignment begin/end date

Account #

FTE

Salary rate

- ❑ Department staff will complete Personnel Action Request (PAR) forms to initiate requested and required payroll changes in a timely fashion.

*COLLEGE OF NATURAL SCIENCES AND MATHEMATICS
ADDITIONAL COMPENSATION PROCEDURES*

CURRENTLY IN DEVELOPMENT.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

TERMINATION POLICY & PROCEDURES

PURPOSE	To ensure that employees are properly terminated in accordance with university policy. This includes termination from the payroll system, cancellation of university access codes and cards, and return of university property.	
REFERENCES	SAM 02.A.25 , 3.4; MAPP 02.04.05	
RESPONSIBLE PARTY	Designated departmental administrative staff	
FREQUENCY	As required	
PROCEDURES	PART I	EMPLOYEE RESPONSIBILITIES
	PART II	SUPERVISOR RESPONSIBILITIES
	PART III	DEPARTMENT RESPONSIBILITIES

PART I. EMPLOYEE RESPONSIBILITIES

Benefits eligible staff should submit a letter of resignation to his/her supervisor.

On or before the last day of work, the employee must report to the DBA to obtain termination instructions for handling the following.

- Return all tool, uniforms, equipment, credit cards, manuals, university identification cards, and other university property.
- Return all keys to offices and/or buildings.
- Return all library materials and/or pay any outstanding library fines. The library staff will stamp the Termination Check List indicating the employee's record is clear.
- Pay any outstanding parking tickets and return parking access cards.
- Contact the Benefits Section of Human Resources to convert or terminate benefits coverage and retirement account.

PART II. SUPERVISOR RESPONSIBILITIES

Supervisor must notify the DBA in writing including the following information: Employee name, last day of work, reason for termination. The letter of resignation should be submitted to DBA. Supervisor must inform employee to report to DBA.

PART III. DEPARTMENT RESPONSIBILITIES

- ❑ Provide employee with the **Termination Check List** and instructions for completing it.
- ❑ Obtain a key list for the employee from Key Control (X3-5675). Collect the keys listed from the employee and if all keys are returned, sign the Termination Check List. If keys are missing, notify the DBA. Return keys to Key Control with a completed Key Request form.
- ❑ Contact Travel Coordinator (X3-5883) to determine if employee has a Corporate Credit Card. If so, employee must return it to the DBA, and DBA must sign the appropriate section of the Termination Check List.
- ❑ Check the BAFMIS system for university debt. If debt exists, print a copy of the screen and inform the employee. The Department must report the debt to the Office of the Associate Vice President for Finance.
- ❑ Prepare a PAR within 5 working days of the termination date to remove employee from payroll, terminate applicable benefits coverage, and reflect any vacation leave accrued but not taken that is to be paid upon termination. Attach copy of resignation letter. Place copies in employee personnel file.
- ❑ Return the completed Termination Check List to Human Resources. Place copy in the personnel file.
- ❑ Complete a Long Distance Access Code form to terminate employee's long distance code, if applicable.
- ❑ Ensure that direct deposit employee completed a Direct Deposit Authorization form to cancel direct deposit, and forward it to Payroll.
- ❑ Notify the Department of Technology Support Services to cancel all user accounts, access codes, and passwords.
- ❑ Notify the Office of the Associate Vice President for Finance to delete authorizations for all administrative computer systems. (ABC, FRS, HRS, PMG).
- ❑ Notify Department IT staff of employee's termination.
- ❑ Prepare Telecommunication Work Request to change the name of the individual assigned to the phone.
- ❑ Update the Department directory with termination date and forwarding address.
- ❑ Remove employee mailbox and delete copier access codes if applicable.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

PAR OUTPROCESSING & TRACKING

PURPOSE To ensure PAR (Personnel Action Requests) are sent to the proper departments and

RESPONSIBLE PARTY Designated departmental administrative staff

FREQUENCY As needed

- I. PAR is entered in Department Assignment Database.
- II. Department approvals are obtained:
 - a. Account Manager
 - b. Chair
 - c. DBA
- III. PAR is
 - a. Date stamped with initials of dept being sent to.
 - b. Copied and sent to the College. The copy is kept in a pending folder until the College returns original.
- IV. The College Approved PAR is:
 - a. Matched to the department's pending copy. That copy is shredded.
 - b. Date stamped with initials of department being sent to.
 - c. Copied and sent to the appropriate Department. The copy is filed in a binder.
- V. NSM approved PAR's are routed as follows:
 - a. Student and Non-Ben staff PAR's – Debra Clay, Compensation
 - b. Research Staff PAR's – Joan Albin, Compensation
 - c. Faculty PAR's, including Teaching Fellows: Barbara Burnett, Faculty Affairs
 - d. College Work Study PAR's with Authorization form, and sign up paperwork – College Work Study, Rm 23 E. Cullen

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

TIME & EFFORT REPORTING POLICY

PURPOSE To outline process for preparation and submission of time & effort reports in order to ensure timely and correct payment and leave accounting.

Please be reminded that all University employees are required to account for 100% of their time during regularly scheduled workdays in an accurate and timely manner.

REFERENCES [MAPP 01.03.01](#), [02.05.02](#), [02.01.03](#)

POLICY

- A. Biweekly employees must accurately complete, sign, and submit a Biweekly Time & Effort Report, including the accurate recording of vacation, sick, and other leave.
- B. Monthly employees must complete, sign, and submit a Monthly Time Sheet, including time taken for vacation, sick, and other leave.
- C. Supervisor's signature (or designee, in supervisor's absence) must be provided on all time sheets.
- D. Departmental certifying signatory must sign biweekly time sheets.
- E. Reasonable estimates of the percentages of time and effort devoted to institutional activities, contract and grant activities, cost sharing, and departmental administration must be reported on the time sheet.
- F. All overtime work must be approved in advance by the supervisor.
- G. Copies of all time and effort reports are to be maintained by the department for the current and previous four (4) fiscal years, except for federally sponsored projects which must be maintained for three (3) years after the final financial report is accepted.
- H. Time & Effort Reports are to be submitted to the Payroll Department according to the payroll schedule. Time reports submitted late may result in a delayed paycheck and/or inaccurate posting of leave balance.
- I. Time & Effort reports are to be reconciled to check registers to ensure that employees are paid accurately.
- J. All staff employees paid on a full-time basis are required to work a minimum of 40 hours per week unless on approved leave status.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

TIME & EFFORT REPORTING PROCEDURES

PURPOSE To outline process for preparation and submission of time & effort reports in order to ensure timely and correct payment and leave accounting.

REFERENCES MAPP [01.03.01](#), [02.05.02](#), [02.01.03](#)

PROCEDURES

- PART I: REPORTING TIME & EFFORT DEVOTED TO SPONSORED PROJECTS & OTHER ACTIVITIES
 - PART II: RECORDING TIME & EFFORT DEVOTED TO SPONSORED PROJECTS ON THE TIME SHEET
 - PART III: TIME & EFFORT REPORTS (TIME SHEETS)
-

PART I: REPORTING TIME & EFFORT DEVOTED TO SPONSORED PROJECTS & OTHER ACTIVITIES

The following effort categories must be reported when applicable:

Instructional: teaching and training activities other than research training. It includes teaching assignments, development of course syllabi.

Sponsored project activities: those activities for which time & effort is directly charged to a sponsored project account(s).

Cost sharing: includes time and effort devoted to a sponsored project, but not directly charged to that project account. The individual is instead paid from institutional funds.

Departmental administration: includes time expended on those administrative and supportive services that benefit common or joint departmental activities.

PART II: RECORDING TIME & EFFORT (TAE) DEVOTED TO SPONSORED PROJECTS ON THE TIME SHEET

Step 1 Employee must know the account numbers of all sponsored project paid from or devoting cost sharing to.

Step 2 TAE must be recorded in Section IV of Monthly Time Sheets and in the "Remarks" section of BiWeekly Time Sheets as in the following example:

Faculty Paid 100% on State Funds with effort to a sponsored project:
Account: 112345
Instruction: 80%
Cost Sharing: 556789 - 20%

PART III: TIME & EFFORT REPORTS (Time Sheets)

Step 1 Distribution of Time Sheets.

Biweekly time sheets will be placed in employee mailboxes.

Monthly Time sheets will be distributed as follows:

- *Faculty and department office staff* time sheets will be placed in their mailboxes.
- *All other student and non-office staff* time sheets will be placed in a binder at the front desk. These employees must go to the front desk to sign their time sheets.

Step 2 Verifying accuracy. Employee must verify the accuracy of the personal data at the top of the time sheet and report any discrepancies to the Payroll Coordinator.

Step 3 Completing the time sheet. Employee must accurately complete the time sheet, including appropriate leave taken, and sign and date it. For bi-weekly employees, hours worked in excess of 40 hours per week must be coded as overtime. Advance approval by supervisor to work overtime is required.

EMPLOYEES UNABLE TO SIGN TIMESHEETS:

Per MAPP policy 02.05.02, in cases where the employee is unable to sign the time sheet, a memo or some other documentation must be attached to the time sheet.

The employee must submit a written statement to the DBA indicating the circumstances. This documentation will be attached to the time sheet. "See attached" will be noted on the signature line of the time sheet and both the time sheet and document will be submitted to Payroll.

Except in cases of special leave approved in advance, immediately upon return to work, the employee must sign a copy of the time sheet that was originally submitted and make any necessary corrections, such as reporting leave hours. This time sheet will be re-submitted to Payroll as a duplicate or corrected time sheet, depending on whether changes were made. If changes were made, then the supervisor's signature will be required also.

Step 4 Submitting the time sheet. Employees who receive time sheets in their mailboxes must return the time sheet to the “Time Sheet Box” located in the mailroom. Department payroll staff will obtain supervisor’s signature.

Late submittal of time sheet. The processing of late timesheets is strongly discouraged. Late timesheets should occur as a very rare exception. Late timesheets may result in late payment to an employee. All measures should be taken to plan in advance for absences of employees or signature authorities. The department will track by employee late timesheet processing.

Step 5 Supervisor approval. Supervisor must verify hours reported, sign the time sheet, and return it to the designated Payroll Coordinator. Time sheets should not be returned to the employee after the supervisor signs it.

If the supervisor is absent, an authorized designee may sign in the “OTHER APPROVAL” section of the time sheet. A copy of a memo giving signature authority to the designee must be provided to the DBA. The designee must be someone with knowledge of 100% of the employee’s activities.

Note Due dates.

Biweekly time sheets are due every other Wednesday by 9:00 a.m. to the designated Payroll Coordinator, with the exception of some holidays in which the time sheet may be due earlier.

Monthly time sheets are due within 5 days following payday.

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS

WORK STUDY EARNINGS PROCEDURES

PURPOSE To ensure work study employees do not work more than the number of hours awarded.

REFERENCES College Work Study Manual

RESPONSIBLE PARTY Designated departmental administrative staff

FREQUENCY Biweekly

PROCEDURES

Step 1 Create and maintain a computer file of each employee's award amount and award hours and the gross dollars earned each pay period.

Step 2 Each pay period, record the total gross earnings in the department's computer file ("Work Study Earnings Record"). You can get the gross earnings from the "Final Payroll Verification Report."

Step 3 Print 2 copies of each employee's earnings record.

Step 4 Give one set to the DBA for review. After DBA reviews, file the copies in the payroll Work Study Folder of the pay period.

Step 5 The other set must be given to each student's supervisor.

TENURE TRACK HIRING PROCEDURES

PURPOSE To provide the College with procedures and guidelines for tenure track faculty hiring that is in accordance with University and College policies.

PROCEDURES PART I: TO INITIATE A SEARCH
PART II: REQUEST TO MAKE AN OFFER

Recruiting may not begin and a position may not be announced until the Provost Office has approved [Request to Recruit](#).

PART I. TO INITIATE A SEARCH (For tenured, tenure track and clinical faculty) ¹⁻²

Step 1: Complete the [Request to Recruit](#) form.

- Use the Affirmative Action Plan to identify underutilization categories and enter that information in the Underutilization section of the Request to Recruit form.
- Assemble a diverse search committee when hiring tenured or tenure track faculty. (This may require choosing faculty from outside the department.)
- Use niche planning guidelines to assist in preparing a justification of the position.

Step 2: The announcement must use the wording "The University of Houston is an equal opportunity/affirmative action employer. Minorities, women, veterans and persons with disabilities are encouraged to apply."

Step 3: Submit the Request to Recruit, signed by the department chair, with attached announcement for the position, to the Dean's Office. From there, the Dean's Office will forward to the Provost Office.

Step 4: The Provost's Office will send the request to the Affirmative Action Office for approval.

Step 5: When the Request to Recruit tenured or tenure track faculty has been approved by the Provost, the position may be announced and the search may begin.

Step 6: When the Request to Recruit clinical faculty has been approved by the Provost, the position may be advertised.

Step 7: The search should be conducted with particular attention to underutilization of women and minorities in the department.

Step 8: The chair of the departmental faculty search committee is responsible for acknowledging the receipt of applications and for sending out University of Houston Self Identification forms (provided by the Office of Affirmative Action.)

Step 9: It is important to note that a faculty member may not be appointed to a tenure track position without a national search. Therefore, if a decision is made to move a faculty member from a non-tenure track position to a tenure track position, a search must be done before the appointment will be approved. In the event that the non-tenure track faculty member was originally hired as the result of a national search, another search will not be required.

PART II. REQUEST TO MAKE AN OFFER

No offer letter may be sent until the Request to Make an Offer has been approved by the Provost.

Step 1: Complete the Request to Make an Offer form, including signatures of the department chair and attach:

- CV of candidate to whom an offer is to be made.
- If the request includes an offer of tenure, provide the department vote on tenure including: number of faculty voting; number voting in favor of tenure; number voting against tenure; and number abstaining.
- Candidate's transcript with degrees posted (translation services available at [Span Tran](#)).³
- Offer letter, signed by dean, using suggested wording.
- Separate justification letter if the candidate does not have the terminal degree in his/her area.

Step 2: Seek approval of the startup package from the Vice President for Research.

- The startup package is a separate negotiation between the department and the Vice President for Research. If the request for startup is not approved by the Vice President for Research the dean or the chair may assume responsibility for the startup offer.

Step 3: Submit the Request to Make an Offer to the Dean's Office for submittal to the Provost's Office.

Step 4: The request will be routed to Affirmative Action Office for verification that an open search has been conducted.

Step 5: When the Provost has approved the Request to Make an Offer, the form is returned to the Dean's Office. When the approved request has been received, the approved offer letter may be sent to the candidate.

Step 6: If the offer is declined, submit a [Notification of Refusal of Offer](#) form to the Dean's Office for submittal to the Provost's Office or submit electronically to the Provost's Office and forward a hard copy to the Dean's Office.

Step 7: If the offer is accepted, submit an [Acceptance of Offer form](#) to the Provost's Office. The Acceptance of Offer form must include the selectee's signature indicating that all pertinent (departmental and/or college, UH) Promotion and Tenure policies have been received. (The hiring process is not complete until this form and the candidate's transcript, showing all degrees earned, have been received in the Provost's Office.)

Footnotes:

1. A search is not required when hiring research, visiting, or other non-tenure track faculty, with the exception of Clinical Faculty who should be hired according to the procedures for hiring tenure track faculty.
2. In the event that a research, visiting, or other non-tenure track position, was hired as the result of a national search, an additional search is not required as a condition for appointing that person to a tenure track position, but the other steps in the process must be followed.
3. The candidate may not begin employment at the University of Houston until a transcript has been received showing all degrees earned to date.

Should the department or college wish to employ a faculty member without the terminal degree in the teaching discipline, the hiring department must provide compelling reasons for hiring such a person. The justification must be signed by the department chair and the dean and must accompany the Faculty Folder. Final permission to make an offer is given only after rigorous review of the search process and scrutiny of the credentials of the candidate by the Provost

NON TENURE TRACK HIRING PROCEDURES

PURPOSE To provide the College with procedures and guidelines for non tenure track faculty hiring that is in accordance with University and College policies.

PROCEDURES PART I: INITIAL APPOINTMENT
PART II: REAPPOINTMENT

PART I. INITIAL APPOINTMENT

Step 1. The Request to Recruit ¹ form is not necessary.

Step 2. To hire a non tenure track faculty member, complete the [Non-Tenure Track Hiring Approval](#) form and the [Faculty Employment Acceptance](#) form and submit them to the Dean's Office for submittal to the Office of the Provost.

Step 3. These forms should be accompanied by:

- the dean's offer letter, signed by the dean (this will come from Dean's Office),
- the candidate's acceptance letter, which could be a copy of the Dean's offer letter signed by the candidate to indicate acceptance of the offer,
- a copy of the candidate's CV, ²
- a copy of the candidate's transcript showing completion of the terminal degree (translation services available at [Span Tran](#)). ³

PART II. REAPPOINTMENT

Step 1. The Request to Recruit form is not necessary.

Step 2. To hire a non tenure track faculty member, complete the [Non-Tenure Track Hiring Approval](#) form including number of years already completed in the position and submit it to the Office of the Provost.

Step 3. The Non-Tenure Track Hiring Approval form should be accompanied by:

- the dean's offer letter, signed by the dean and
- the candidate's acceptance letter, which could be a copy of the dean's offer letter signed by the candidate to indicate acceptance of the offer.

Step 3. In the case of the appointment of a Visiting or Adjunct faculty member, or a Lecturer, provide information about the number of courses that the faculty member will be expected to teach during each semester of the appointment. If

the teaching assignment is not four courses, on a separate sheet, explain why the teaching assignment is equivalent to a full load for the FTE given.

Notes:

1. It is important to note that a faculty member may not be appointed to a tenure track position without a national search. Therefore, if a decision is made to appoint a faculty member holding a non-tenure track position to a tenure track position, a search must be done. In the event that a search was done at the time the non-tenure track faculty member was originally hired, another search is not necessary.
2. Not necessary for reappointment.
3. Not necessary for reappointment.

TRAVEL CASH ADVANCE POLICY

PURPOSE	To provide the College with procedures and guidelines for Travel Cash Advances.
PROCEDURES	PART I: STEPS FOR PROCESSING ADVANCE PART II: PAYING BACK ADVANCE

PART I: STEPS FOR PROCESSING ADVANCE

- Step 1: Travelers should allow a minimum of 15 working days to process a travel advance.
- Step 2: Travel advance cannot be given for the purchase of airfare since this can be purchased via the University of Houston travel agency.
- Step 3: The travel advance form to be completed by the PI can be found at the web sight: <http://www.uh.edu/mapp/framset3.htm> and by clicking on MAPP 04.02.01 and scrolling to the bottom.
- Step 4: The Travel Advance Application, a properly approved Voucher covering the amount of the advance, and a copy of the Travel Request should be forwarded to the university Travel Coordinator.
- Step 5: Travel advance checks are mailed by the Treasurer's Office to the employee's home address and may be distributed no more than 30 days in advance of the trip.
- Step 6: The PI and the department must clear all travel advances **within 15 working days** of return from the trip. Appropriate forms complete with documentation must be sent to the travel coordinator in Accounts Payable (AP) within this time. This is required whether the actual expenses are less than, equal to, or greater than the advance.
- Step 7: Each trip must be reported and accounted for individually.
- Step 8: If the expenses are equal to the travel advance, a journal must be prepaid to debited to the traveler's cost enter and credited to the travel advance cost center. Attach the journal entry form, the travel expenditure report and all receipts, and send to the travel coordinator in AP.
- Step 9: If the travel expenses are greater than the travel advance, prepare a voucher made payable to the traveler that would debit the traveler cost center for his/her expenses on the trip and credit the travel advance cost center for the travel advance amount. The difference is the amount owed

to the traveler. The voucher and the travel expenditure report and attached receipts must be sent to the travel coordinator in AP.

Step 10: If the travel expenses are less than the travel advance, the traveler must give the business office a check for the difference. The check must be deposited using a Journal entry form and sent to the treasury office for deposit. In addition, a Journal entry form must be prepared to debit the travel expenditure amount to the traveler cost center and credit the travel advance cost center for the same amount. A copy of the deposit journal, the travel journal and the expenditure form report with the attached receipts must be sent to the travel coordinator In AP.

PART II: IF THE TRAVEL ADVANCE IS NOT PAID BACK ON TIME THE FOLLOWING ACTION WILL BE TAKEN.

Step 1: The Travel Coordinator will notify the traveler and appropriate college/division business administrators of open travel advances.

Step 2: The Travel Coordinator will charge the local cost center on the Travel Advance Application as authorized by the traveler's department for the amount of the advance.

Step 3: The travel advance will be reported to Payroll as compensation to the employee and reported as taxable income to the Internal Revenue Service.

Step 4: The traveler will remain responsible for repayment of the advance and will be ineligible for subsequent travel advances until the prior advance is repaid or cleared.

**COLLEGE OF NATURAL SCIENCES AND MATHEMATICS
POLICIES AND PROCEDURES FOR
RECEIPT, CUSTODY, AND DEPOSIT OF UNIVERSITY FUNDS**

PURPOSE	Procedures for the handling of cash receipts are designed to provide accountability for moneys received in accordance with accepted standards of internal controls.
REFERENCES	MAPP 05.01.01 , SAM 03.F.04 , Cash Handling Workshop ~ 2002
PROCEDURES	PART I: GENERAL STATEMENT PART II: PROCESSING CASH RECEIPTS AND REVENUE CLASSIFICATION PART III: COMPLETING CASH AND CHECK DEPOSITS PART IV: CASH AND CREDIT CARD PROCEDURES FOR RESEARCH STORES PART V: CREDIT CARD PROCEDURES FOR NON-RESEARCH STORES AREAS PART VI: GIFT TRANSMITTAL FORMS PART VII: TIPS

PART I. GENERAL STATEMENT

Procedures for the handling of cash receipts are designed to provide accountability for moneys received in accordance with accepted standards of internal controls. All employees of the College of Natural Sciences and Mathematics are responsible for complying with the policies and procedures described below. Failure to adhere to these policies and procedures may result in disciplinary action being taken against the employee. The charging of fees or agreements to provide services for compensation are prohibited except with specific knowledge and authorization of the department head, the college/division administrator, the Budget Office, and the appropriate vice president. Compliance with these procedures will protect employees when questions arise and protect the University from criticism by auditors and other reviewing officials. The Office of Student Financial Services is responsible for receiving all University monies after completion of paperwork for reviewing and forwarding on to the University's Bank. Gift receipts will be sent directly to the Treasurer's Office.

All employees have an obligation to report any suspected theft, fraud, embezzlement, or any other irregularity causing a loss of cash. Employees who are aware of criminal activity and fail to report such may be subject to disciplinary action. Employees are required to cooperate with any police or audit investigation, and they may be requested to keep their knowledge of the investigation confidential.

PART II. PROCESSING CASH RECEIPTS AND REVENUE CLASSIFICATION

Purpose and Overview

Primary purpose is to review the classification of revenue and other cash receipts, and to provide an understanding of cash handling and deposit document preparation, approval, and processing. Campus policy as stated in MAPP is based on State of Texas statutes, UHS Board of Regents Policies and Procedures and UHS System Administrative Memorandum. The goal is to provide university personnel with an understanding of the policies and to prepare university personnel so that departments can readily comply with the policy and avoid undue delays and errors in the crediting of receipts to the department cost center and to the university accounting system.

Definition of cash

In accordance with [MAPP 5.01.01](#), the term cash includes all forms of payment that may be received, excluding internal documents such as Service Center Requests and Expenditure Reallocations or Corrections, but including currency (U.S. and foreign), checks, travelers' checks, money orders, credit card and debit card charges, and wire transfers. In short, anything that may be presented to a bank for payment. While some forms of cash, such as currency, are obviously more sensitive to improper handling, it is important to keep in mind that the policy does not make a distinction between the various forms of payment when specifying the requirements for its processing.

Authority to receive payments

[MAPP 5.01.01](#) states that cash is not to be accepted or issued by any university employee for any purpose unless that employee has been authorized by the college/division administrator for the purpose specified. Individuals authorized to handle cash will have on file in the department a copy of [Addendum A – MAPP 05.01.01](#). The reason for this prior approval process is to ensure that monies accepted by a department represent payment for what is truly university business, and to safeguard against improper use of university and state resources. A department must begin its compliance with the policy before a payment is presented, by knowing who in the department is authorized to receive payments and for what purpose. Department personnel should not assume that such authorization exists.

Receipt of Cash

A complete description of the steps that are to be followed by the receiving department is provided in the Administrative Procedure section of [MAPP 5.01.01](#). Essentially: A prenumbered receipt or the use of an alternate receipt process is required each time cash is received. The use of receipts are a critical element of internal control, as well as the resolution of any differences or problems that may arise at a later time with the payer. Any alternate receipt method must be approved by Operational Support or UHS Treasurer's office. At this time the only acceptable alternates are cash register tapes or a log of prenumbered event tickets; photocopies of currency are not acceptable receipts.

All checks or other negotiable currency must be restrictively endorsed immediately upon receipt by the department as follows:

**FOR DEPOSIT ONLY
UNIVERSITY OF HOUSTON
BusUnit - Fund - Dept - Program - Project - SpeedType - PS Acct**

Money Orders and Foreign drafts, which are those items drawn against foreign banks and requiring presentation to that bank for payment must be processed on a separate Journal Entry Form. These items can be identified by the lack of transit coding at the bottom of the check.

Checks received must be verified against the Bad Check Summary in FAFMIS. If an individual appears on the Bad Check Summary **only** cash can be accepted for payment/reimbursement.

Timely processing of deposits

If the total is greater than \$100, then the deposit **must** be made within one working day. Although not recommended, a department can take up to five days to make a deposit if the total cash received is less than \$100. Deposits held in departmental areas **must** be kept under lock and key. Departments should not hold checks because the proper cost center cannot be identified or has not yet been created, nor should the department deposit the receipt to one departmental cost center for later transfer to the correct cost center. There are University of Houston System and University of Houston clearing cost centers to be used in these cases. Contact the UH System Treasurer's office for assistance in the use of a clearing cost center.

Transmittal of deposits

Deposits shall be made using authorized bank bags obtained from Student Financial Services. Departments need to make arrangements with the University of Houston Police Department to transmit funds to Student Financial Services.

Gift transmittals are to be hand delivered to the Treasurer's office.

UH MAIL IS NOT TO BE USED FOR ANY CASH TRANSMITTAL

PART III. COMPLETING CASH AND CHECK DEPOSITS

Necessary Items:

PS Journal Entry form can be downloaded at <http://www.uh.edu/fast/financial/FS-refandforms.htm>

Deposit Slips are available from the Treasury Office. Deposit Slips can be ordered by sending a memo to Glinna Hilton TREAS2009 with the following information:

How many deposit slips you want to order (100 per book, minimum order 200) ~6.50 each.

How your department name should appear (attach current deposit ticket if available).

PS Cost Center and FRS Account number to be charged.

Your name and telephone number.

Processing the Deposit Slips usually takes 10-15 working days.

Money Transmittal Form and Tamper Resistant Bags are available from Student Financial Services (SFA). Contact Melissa Villarreal at x35632 and provide a PS Journal Entry for purchase.

Complete a PS Journal Entry form. Preparing and saving this document will ensure accountability of all PS Journal Entries (example: H0102140, H0102154, etc).

Complete a PS Journal Entry On-Line.

Enter PS Journal Entry information in a Cash Log (ex. FileMaker dBase – open Cash Log and import PS Journal Entry information).

Prepare original Deposit Slip. Will also need three (3) copies – xerox copies are acceptable. Deposit slips **must** include: Department Name – PS Journal Reference Number – Bag Number – Transmittal Number (optional). This information should be placed on left hand side of deposit slip above the bank routing number.

Backup documentation **must** include a Deposit Slip taped to a letter size blank sheet of paper. Examples of backup documentation: Copy of Check (Front & Back), Copy of document being reimbursed, Copy of Service Center Invoice, Copy of Graduate Application Fee, Copy of receipt being reimbursed.

Complete a Money Transmittal Form. To Office will be 6 E Cullen.

Putting it together

Original – PS Journal Entry On-Line

Backup Documentation

One (1) copy of deposit slip taped to letter size paper

Stapled in upper left hand corner

Copy of PS Journal Entry On-Line

One (1) copy of deposit slip sized according to original deposit slip

Paper clip to Original PS Journal Entry On-Line

Items placed in the tamper-proof bag

Checks/Cash (secured with paper clip or rubber band)

Original Deposit Slip

Cash and Check Deposits must be picked up by UHPD. Call x30600 when completed - give name – location (bldg and room #) and Telephone #

UHPD will sign Money Transmittal Form and return the top copy.

Reconciliation

Cash Receipt Book will be reconciled against prepared Journal Entries to ensure that all receipts are accountable. This will be accomplished at least once a month.

PART IV. CASH AND CREDIT CARD PROCEDURES FOR RESEARCH STORES

Checks or cash processing procedures

A 4-part sales receipt is printed and top copy of this receipt is given to the customer.

Checks or cash are accepted as payment for laboratory supplies sold to students.

The following is required before accepting checks for payment:

A valid driver's license or a valid government ID

Review the Master Check List to verify that the check writer's name is not on list.

Checks are stamped on the back with Department affiliation and PeopleSoft Cost Center for deposit.

Cash is held in a safe in the Manager's office until the deposit is made.

A cash receipts report in DacEasy POS is processed whenever cash receipts need to be deposited. The remaining copies of the sale receipts are attached to the receipts report. A copy of the cash receipts report with two parts of the sales receipt are kept and maintained on file with a copy of the PeopleSoft General Ledger Journal. A computer log is maintained and updated with each deposit. Cash Deposits are prepared by the Assistant Manager. The PS Journal Entry Request Form (JERF) is generated by an Office Assistant. The JERF is reviewed for correctness and then signed by the Manager and certified by the Department Business Administrator or designee. The cash and JERF is picked up by the UH Police. The JERF's are reconciled monthly with the entries in the computer log.

Credit Card Procedures

Visa/MC and Discover credit cards are accepted as payment for laboratory supplies sold to students and accepted by University employees authorized for that purpose.

Credit card sales are processed on DacEasy Point-of-Sale software. This program interfaces with Atomic software, a credit card authorization interface. Credit cards are swiped by a card reader and transmitted for approval via modem to Atomic Software. A 4-part receipt is printed, approved by and signed by the customer. The customer receives the bottom copy (pink) and the remaining three copies are retained as store copies.

Sales are posted via Atomic Software Authorizer program at the end of each day. A batch settlement process initiates transfer of funds from credit card companies to a University bank account and provides a unique batch settlement transaction number verifying a successful posting of funds.

The Assistant Manger is responsible for posting credit card sales and preparing the daily credit card sales report. A credit card sales report using Crystal Reports for DacEasy POS is prepared. A Journal Entry Request Form (JERF) is generated by an Office Assistant. The JERF is reviewed for correctness and then signed by the Manager and certified by the Department Business Administrator or designee.

The following documents are required for each general ledger journal:

- Copy of signed credit card sales receipt
- Report generated by Crystal Reports from DacEasy POS
- Batch settlement receipt
- JERF signed by Store Manager and DBA

An electronic credit card log is maintained of each credit card journal entry. This log is reconciled with the PeopleSoft account on a monthly basis.

PART V. CREDIT CARD PROCEDURES FOR NON-RESEARCH STORES AREAS

All departments that do not have a credit card machine will complete a Journal Entry Request Form (on-line), including a signature of the person responsible for the credit card verifying that this charge is correct, which will be sent to the Treasury Department in order for the transaction to be processed. The Treasury Department will run the credit card numbers through their machine and complete the process of charging the credit card used. General Accounting will verify that the charge has been processed and complete the transaction by processing the journal.

PART VI. GIFT TRANSMITTAL FORMS

A gift (check, cash, negotiable stocks or bonds) received by a department should be forwarded through the NSM Development Office to the Treasurer's Office with a Gift Transmittal Form (GTF) and documentation within one working day of receipt. The GTF must include a certifying signature indicating that the funds are being deposited into an account in accordance with any applicable funding source restrictions. The Treasurer's Office will in turn notify the Development Office of the gift transaction.

PART VII. TIPS

Cash Received Totaling \$100.00 or more needs to be deposited within one (1) working day

Cash Received Totaling less than \$100.00 needs to be deposited within five (5) working days

Authorize a single person to handle cash at any one time

Keep cash in a secure area (safe, lock box, locked desk drawer, etc.)

Use PS "Speed Type"

Ensure each journal has it's own back-up

Attach a deposit slip for each BANK line

Attach back-up with amounts supporting each line of the journal

Don't attach two journals to a single deposit slip

Don't attach small pieces of paper – use letter size

Don't attach unnecessary documents to journal – **Rule of Thumb** – if it's not worth microfilming, don't attach to journal

Examples for completing the following documents, can be found at

http://www.staff.nsm.uh.edu/train_ppt.htm

Cash and Check Deposits

PS Journal Entry

PS Journal Entry On-Line

Reimburse Travel Advance PS Journal Entry

Deposit Slips

Money Transmittal

Credit Card Deposits

Coin Deposits

Currency Change Orders

Credit Card Payments on Journal Entries

COLLEGE OF NATURAL SCIENCES AND MATHEMATICS
POLICIES AND PROCEDURES FOR
PETTY CASH

PURPOSE Procedures for the handling of petty cash are designed to provide accountability for moneys received in accordance with accepted standards of internal controls.

REFERENCES [MAPP 05.01.01](#), [SAM 03.A.07](#)

PROCEDURES PART I: GENERAL STATEMENT
PART II: POLICY PROVISIONS
PART III: CUSTODIAN RESPONSIBILITIES

PART I: GENERAL STATEMENT

Procedures for the handling of petty cash are designed to provide accountability for moneys received in accordance with accepted standards of internal controls. All employees of the College of Natural Sciences and Mathematics are responsible for complying with the policies and procedures described below. Failure to adhere to these policies and procedures may result in disciplinary action being taken against the employee. The charging of fees or agreements to provide services for compensation are prohibited except with specific knowledge and authorization of the department head, the college/division administrator, the Budget Office, and the appropriate vice president. Compliance with these procedures will protect employees when questions arise and protect the University from criticism by auditors and other reviewing officials.

All employees have an obligation to report any suspected theft, fraud, embezzlement, or any other irregularity causing a loss of cash. Employees who are aware of criminal activity and fail to report such may be subject to disciplinary action. Employees are required to cooperate with any police or audit investigation, and they may be requested to keep their knowledge of the investigation confidential.

PART II: POLICY PROVISIONS

Departmental petty cash funds will be authorized only in extraordinary cases where need and accountability can be demonstrated. All departmental cash funds require the approval of the college business administrator and the Treasurer.

An individual will be assigned the responsibility of the petty cash fund. The Petty Cash Custodian will complete an "Acknowledgment of Receipt of Funds & Policies and Procedures Related Thereto" Exhibit A - SAM 03.A.07 and a copy will be retained by the department.

The petty cash fund will be established for a designated amount from which payments and/or reimbursements for small dollar expenses may be made.

The maximum amount of petty cash to be expended, reimbursed, and/or advanced per transaction is \$100.00. Reimbursements greater than \$100.00 will be processed through Accounts Payable.

A properly completed "Voucher Request Form For Disbursement of Petty Cash" Exhibit B - SAM 03.A.07 and acceptable documentation is required for cash reimbursement.

Proper documentation for reimbursement can consist of the following:

- Original, numbered receipt with company name and address imprinted, which includes an itemized listing or description of the items purchased. Receipts should be taped to an 8 ½ x 11 piece of paper.

- Carbon copies of receipts are acceptable but must be certified by the department head as a valid receipt, which has not been previously reimbursed

- COD charge lists are acceptable only if they are marked paid and signed by the individual delivering the items, or stamped paid with a company stamp and signed by the individual delivering the items

- Cash register tape that has the company's name and date of purchase at the top of the tape, and all items are circled and described by individual seeking reimbursement

- Hand written paper receipts that contain the full name, address and telephone number of person from whom purchased and is signed by this person

Petty cash funds will be replenished by the custodian on or before the last day of each month and must be replenished on or before the last day of the fiscal year.

Requests for replenishment of petty cash funds will be made on a voucher by the fund custodian and submitted to Accounts Payable. This request will be accompanied by the receipts received during the accounting period. A check will be issued to the custodian of the fund.

PART III: CUSTODIAN RESPONSIBILITIES

1. Safe and secure storage.
2. Petty cash fund will be kept separate from all other funds.
3. Ensure that each transaction is for the established purpose.
4. Provide proper documentation to support each expenditure.
5. Balance the fund each time a disbursement is made or a minimum of once a month.
6. Report non-balance of the fund to the chief financial officer or designee in a timely manner.
7. Report theft from the fund to the chief financial officer and the university police department.

**COLLEGE OF NATURAL SCIENCES AND MATHEMATICS INSTRUCTIONS
FOR PHONE REPORTS AND LONG DISTANCE LOG**

PURPOSE To provide departmental policy and procedures for telecommunication and long distance reporting.

REFERENCES [MAPP 10.03.05](#)

PROCEDURES Printing reports and steps.

PROCEDURES

Print the reports from the web each month as they become available.

Divide the report into two parts:

The detail reports showing 1-800 or long distance calls

The Summary reports by cost center

The detail reports with 1-800 or long distance calls

1. Stamp each of the detail reports showing long distance or 1-800 charges.
2. Check them off against a copy of the master list of long distance codes in the department.
3. Label that master list with the current month and three-hole punch it.
4. Stamp each of the summary reports with the stamp for Administrator or PI verification.
5. Make a copy of the summary report with the stamp.
6. Distribute the original to the PIs and appropriate staff members.
7. Three-hole punch and keep the copies in a binder with the master list.
8. Replace the copy with the original as verified forms are returned and check off on the master list as returned.
9. If reports are not returned by the end of the next period include a copy of the last report with the current with a reminder to return.

The summary reports by cost center

1. File the detail reports in the appropriate account folder for reconciliation purposes.
2. Give a copy of the detail showing the list of equipment charges to the *departmental cost center* to the Department Administrator each month.
3. No ledger 5 should have equipment charges; verify that this is the case before filing in the account folder.
4. Email any discrepancies in the report to telecommunications and keep a copy of the email as a reminder to check for correction until the problem is resolved.

**COLLEGE OF NATURAL SCIENCES AND MATHEMATICS
PROPERTY MANAGEMENT PROCEDURES**

PURPOSE The purpose of this document is to provide guidelines for the proper management and control of university property.

REFERENCES [MAPP 03.03.01](#)

PROCEDURES

PART I:	POLICY STATEMENT
PART II:	DEFINITIONS
PART III:	GENERAL PROVISIONS
PART IV:	IDENTIFICATION
PART V:	TAGS
PART VI:	HOW EQUIPMENT IS TAGGED
PART VII:	ANNUAL INVENTORY
PART VIII:	MAINTENANCE
PART IX:	CANNIBALIZATION
PART X:	INTERDEPARTMENTAL LOANS
PART XI:	EQUIPMENT TRANSFERS
PART XII:	EXCESS EQUIPMENT
PART XIII:	REMOVING EQUIPMENT FROM CAMPUS
PART XIV:	THEFT
PART XV:	ASSIGNMENT OF RESPONSIBILITY
PART XVI:	CHANGE OF PROPERTY CUSTODIAN
PART XVII:	IMPORTANT NOTES

PART I: POLICY STATEMENT

The State of Texas requires the University of Houston to maintain an inventory of capital property. Responsibility for this inventory is assigned to Property Management.

The university is responsible for the proper maintenance and safekeeping of state and federal property in its possession. Each property custodian fills this function for their respective administrative units.

PART II: DEFINITIONS

- a. International Standard Ordering (ISO) Number: A unique number assigned to each UH/UHS faculty, staff, and student.
- b. Tag: A white, plastic sticker, having a unique identifying number, issued by Property Management, that indicates whether the property is capital equipment, surplus equipment, a gift, a state or private loan, or federal property on loan to the university.

Other definitions of terms used in this document may be found in [MAPP 03.03.01](#).

PART III: GENERAL PROVISIONS

Each property custodian is specifically responsible for the proper management and control of university property, and should ensure that:

- capital equipment received (by means other than purchase) is reported to Property Management on forms [PRP- 1A](#),
- property is used for university purposes only,
- property is not loaned, traded, discarded, moved, or cannibalized without approval of Property Management,
- property is not defaced or damaged in any way,
- property is not returned to a vendor as a trade-in without approval of Property Management,
- obsolete and excess property is turned in to Property Management for disposal,
- equipment is used for its intended purpose by properly trained personnel, and
- property within the department is tagged and listed in the Departmental Inventory of Physical Property.

Each capital or controlled asset should be assigned to an individual using that individual's University of Houston ISO Number. The designated individual may be the property custodian or an individual to whom the property custodian has entrusted property. All items located off campus should be assigned to the individual requesting assignment on the off-campus authorization.

PART IV: IDENTIFICATION

Items received through standard purchase procedures (purchase orders and Service Center Requisitions [SCRs]) are identified by Property Management through the use of purchasing records and vendor documentation available from Accounts Payable. Receiving reports should correctly identify equipment model numbers, serial numbers and equipment locations. Other items (i.e. fabricated assets, gifts, etc.) are identified by Property Management through disclosure (either on the form or as an attachment to the form) on the [PRP-1A](#). Immediately upon receipt of any capital item by loan or gift, the property custodian must notify Property Management by a completed [PRP-1A](#) (see sample in [MAPP 03.03.01](#)), including the following information where it applies:

- Complete description of the item and Manufacturer's name
- Manufacturer's serial number and model number
- Date of receipt
- Value of the item
- Building and room number where item will be located
- Copies of correspondence documenting solicitation and acceptance of gifts

- Copy of Gift Transmittal Form available from the Development Office. Copies of any shipping and/or packing documents must be attached to the PRP-1A.

PART V: TAGS

- a. Capital equipment and controlled assets purchased from any source of funds is identified with the standard University of Houston property inventory tag with its own unique identifying number and bar code. In the past, the standard tags were white with barcode and silver without barcode, and any equipment with these tags will not need to be retagged. Any surplus equipment or equipment received as a gift also is marked with the standard University of Houston property inventory tag.
- b. Property on loan to the university from state or private sources is to be identified with the new standard University of Houston property inventory tag for inventory control purposes only.
- c. Federal property on loan to the university is identified with a black metal tag, specifically marking it as federal property.
- d. Although it does not enter the Property Management inventory, non-capital equipment may be identified as such for security purposes at the discretion of the departments.

PART VI: HOW EQUIPMENT IS TAGGED

- a. When a department receives capital equipment and Property Management receives all the appropriate documentation, Property Management sends a tagging package to the department property custodian. This consists of information recorded on purchasing documentation and a tag. The property custodian should affix the tag to the asset in accordance with tagging location requirements.
- b. When a department acquires non-capital equipment, e.g. a calculator or camera, the property custodian is responsible for contacting Property Management by phone or memo and requesting a supply of red tags, available from Property Management. The department is responsible for affixing the red tags to non-capital equipment as it is acquired.

PART VII: ANNUAL INVENTORY

The university is required by state statute to conduct an annual inventory of all capital equipment on campus.

PART VIII: MAINTENANCE

Departments are responsible for maintaining all equipment in their custody. This includes periodic inspections, calibrations, preventive maintenance, and repairs as

specified by the manufacturer and conventional maintenance practices. Departments are to maintain maintenance records and make them available to the Property Manager and others on request.

PART IX: CANNIBALIZATION

Equipment may not be cannibalized under any circumstances without approval from Property Management. Requests for cannibalization will be approved upon demonstration that such action will best serve the university's interests. For authorization, use form [PRP-1A](#) and request removal from department inventory by means of cannibalization. Once authorization is obtained and cannibalization is complete, the remaining parts and tag should be transferred to Property Management.

PART X: INTERDEPARTMENTAL LOANS

When a department loans capital equipment to another, it is considered a temporary transfer. University property may be loaned from one department to another only for the purpose of conducting official business, and may not be loaned to individuals or organizations outside the university. The lending department must complete form [PRP-1A](#) for Property Management approval. When the equipment is returned, the borrower must notify Property Management by a copy of the original [PRP-1A](#) with the return date and signature of the property custodian verifying receipt.

PART XI: EQUIPMENT TRANSFERS

Equipment transfers between university departments are not financial transactions. Forms such as SCRs (Interdepartmental Transaction) are not to be used for department transfers. When a department wishes to make interdepartmental equipment transfers, the property custodian must submit a completed [PRP-1A](#) to Property Management for approval. If Physical Plant personnel are required to move the item, a work request for movers is attached to the [PRP-1A](#). Property Management will forward the work request with the completed [PRP-1A](#) to Physical Plant as required. Do not submit a work request without [PRP-1A](#).

PART XII: EXCESS EQUIPMENT

All equipment in excess of the needs of the department should be turned in to Property Management so that another department may use the existing equipment rather than having to make a new purchase. Authorization to move items to Property Management storage is requested on form [PRP-1A](#). If Physical Plant personnel are required to move equipment to Property Management storage facilities, a Work Request form should accompany form [PRP-1A](#).

PART XIII: REMOVING EQUIPMENT FROM CAMPUS

- a. Any university equipment, once tagged, may be removed from the campus only when necessary to conduct official university business.
- b. Any employee who has university property at an off-campus location is responsible for that property and should consider providing insurance coverage under his or her own personal property insurance. The department has the option of scheduling its computers on the University of Houston master computer insurance policy.

Portable equipment used for student educational purposes (e.g. video cameras in the RTV department) is tagged and listed in the inventory, but as it is purchased for student use, it is expected to be removed from campus frequently. Therefore, the responsibility for monitoring its use lies with the property custodian.

- c. Equipment may be temporarily removed from campus for repairs or maintenance; however, it is the property custodian's responsibility to monitor its location and ensure that the equipment is returned to the university campus once the needed repairs or maintenance work have been completed. Requests for removal should be in writing and approved by the property custodian or the college/division administrator. The property custodian is responsible for maintaining records regarding the temporary removal of equipment from campus for repairs or maintenance. These records are to be made available, upon request, to Property Management.

Requests for Property Management's approval must be made prior to the move, using form [PRP-2](#). Property Management will approve an off-campus location for equipment for a specific period of time, which may not extend past the end of the fiscal year. If the property is needed for a longer time, the employee may renew the approval, without physically returning the equipment, by submitting form [PRP-2](#) (see sample in [MAPP 03.03.01](#)) prior to the beginning of the new fiscal year. It is important to note that off-campus equipment must be reported on the annual inventory.

- d. Should the property be lost, stolen, damaged, or destroyed, the employee must reimburse the university, whether it is by an insurance check or personal funds.

PART XIV: THEFT

- a. The property custodian is responsible for reporting any capital equipment, which is stolen or believed to be stolen to the [University of Houston Police Department \(UHPD\)](#) at 713 743 3333 and Property Management. The property custodian is responsible for ensuring that the "Missing or Stolen Property Report for State Departments, Institutions, Agencies" Form is properly completed and that copies are submitted to both UHPD and Property Management. The property custodian is responsible for reporting any capital equipment, which is stolen or believed to be stolen to:

- UHPD - by a preliminary telephone report to initiate an investigation, and

- Property Management - by submitting a completed Form [PRP-1A](#) (see sample in [MAPP 03.03.01](#)) and a completed "Missing or Stolen Property Report for State Departments, Institutions, Agencies" Form to request the lost item's removal from inventory as lost or stolen equipment. If the equipment is not recovered within 60 days, it will be removed from inventory.
- b. The university is required to report capital equipment losses to the State Auditor. If the State Auditor determines that an employee is responsible for the loss of equipment, the employee will be required to reimburse the state.
 - c. Any unexplained loss of non-capital equipment or expendable supplies should be reported directly to UHPD by the property custodian.
 - d. Any lost or stolen capital equipment that is subsequently recovered should be reported immediately to Property Management and UHPD. The Property Manager will report the recovery to the State Auditor.

PART XV: ASSIGNMENT OF RESPONSIBILITY

Each capital or controlled asset should be assigned to an individual using that individual's UH ISO Number. The designated individual may be the property custodian or an individual to whom the property custodian has entrusted the property. The authority to assign property resides with the college or division, and each college or division may determine the appropriate policies for its particular organization.

- a. Initial Assignment of Responsibility - The Property Manager will prepare and distribute reports of capital and controlled assets to the colleges and divisions. The designated property custodian will automatically be assigned responsibility unless another individual is designated as having been assigned responsibility. The property custodian will also automatically be assigned responsibility for new acquisitions of capital and controlled asset(s). Once the newly acquired asset(s) have been assigned UH inventory tag numbers, the property custodian may designate another individual responsibility for the asset(s).
- b. Changes to the Assignment of Responsibility - The property custodian should prepare and submit to Property Management a detailed listing of the capital or controlled asset(s) when responsibility is being assigned to another individual. For each asset on this listing, the property custodian should include the UH property inventory tag number, description of the asset, current location of the asset, name, and UH ISO Number of the individual to whom responsibility is being assigned. For each individual to whom responsibility for one, or more, capital or controlled asset is being assigned, the following statement should be attached:

I understand that I am under financial liability for loss or damage to this (these) item(s) if the loss or damage results from my negligence, intentional act, or failure to exercise reasonable care, safeguard, maintain, and, service it (them).

Signature _____ Date _____

- c. This signed statement must be kept on file in the department, with a copy returned to Property Management along with the detailed listing.
- d. Annual Renewal of the Assignment of Responsibility - Upon completion of the annual inventory process, Property Management will prepare and distribute reports of asset assignments to the colleges and divisions. These reports will be prepared by the individual and include the following statement:

My signature by the item (or those items) listed above indicates that I understand that I am under financial liability for loss or damage to the item (or those items) if the loss or damage results from my negligence, intentional act, or failure to exercise reasonable care, safeguard, maintain, and service it (them).
- e. The individual to whom the property has been assigned may acknowledge that assignment by signing in the space provided and marked with "name." The signed report must be kept on file in the department, with a copy returned to Property Management along with the detailed listing.

PART XVI: CHANGE OF PROPERTY CUSTODIAN

When a new property custodian is appointed, the departmental inventory must be verified and documented by the in-coming and out-going property custodians. The out-going property custodian will forward a signed copy of [PRP-6](#) to Property Management designating a new property custodian. Property Management will provide a current inventory listing at the time of the change.

PART XVII: IMPORTANT NOTES

At any time, the university's Internal Auditors or the State Auditor's Office may inspect the Property Management records and the physical location of equipment to verify their accuracy. Any employee who fails to comply with an inspection of their records by Internal Auditing or the State Auditor's Office may be considered negligent, and he or she may be liable for any resulting loss or damage to university property.

**COLLEGE OF NATURAL SCIENCES AND MATHEMATICS
POLICIES AND PROCEDURES FOR
DEPARTMENTAL COMPUTING**

PURPOSE Procedures for departmental computing are designed to provide accountability for computer usage in accordance with accepted standards of internal controls

REFERENCES [SAM 07.A.02](#), [SAM 07.A.03](#), [MAPP 10.03.01](#), [MAPP 10.03.02](#)
[IT Reference Guide](#), [IT Support Center Standards](#)

I. General Statement

Procedures for departmental computing are designed to provide accountability for computer usage in accordance with accepted standards of internal controls. All employees of the College of Natural Sciences and Mathematics are responsible for complying with the policies and procedures described below. Failure to adhere to these policies and procedures may result in disciplinary action being taken against the employee. Compliance with these procedures will protect employees when questions arise and protect the University from criticism by auditors and other reviewing officials.

All employees have an obligation to report any suspected misuse, abuse, or security violations related to computer use. Employees who are aware of criminal activity and fail to report such may be subject to disciplinary action. Employees are required to cooperate with any police or audit investigation, and they may be requested to keep their knowledge of the investigation confidential.

II. Guidelines

[SAM 07.A.02](#)
[SAM 07.A.03](#)
[MAPP 10.03.01](#)
[MAPP 10.03.02](#)
[IT Reference Guide](#)
[IT Support Center Standards](#)

III. Policy Provisions

All computer systems requiring log-on and password shall have an initial screen banner reinforcing security requirements and reminding users of their need to use computing resources responsibly.

Users shall not seek or reveal information on, obtain copies of, or modify files, tapes, or passwords belonging to other users, nor may the user misrepresent others. Each computer account will be assigned to a single individual who is accountable for the activity on that account.

Users must abide by the laws protecting copyright and licensing of programs and data. In no case will copies be made of a licensed computer program to avoid paying additional license fees or to share with other users.

System Administrators and other custodians of computers are responsible for the physical security of university hardware, software, and data entrusted to their use. This security includes the following provisions:

Ensuring doors to areas with computer equipment are locked and/or that computer security devices to secure computers to desks are installed

Ensuring that computer equipment is protected from weather, chalk dust, and other foreign materials

Securing floppy disks and floppy drives

Backing up all critical data files and storing back-up data in a secure, separate area

Ensuring that data storage/disk space on computers is adequate for departmental usage

Ensuring that the latest version of anti-virus software is installed on computers and is being used

Use of surge protectors or uninterruptible power supply (UPS) to protect and save data in case of electrical failure

Responsible for taking all possible precautions to protect the programs and operating systems under their care against security violations by network intruders

IV. Password Control

Passwords are to be assigned to the individual employee or issued on an individual employee basis if computerized records are being accessed as part of their responsibility.

Passwords will be a minimum length of five characters and if stored on the computer needs to be encrypted in storage.

Passwords which are obvious, such as nicknames and dates of birth, should not be used.

Passwords should be changed on a regular basis, not shared with others, and not written down

V. Risk Assessment Policy

System administrators should conduct a risk assessment program consisting of the following:

- Identification of assets
- Estimation of asset values
- Identification of threats
- Identification of vulnerabilities
- Calculation of risk

Risk Assessment policy will be updated based on changes which have occurred since the previous review.

**COLLEGE OF NATURAL SCIENCES AND MATHEMATICS
KEY CONTROL POLICY**

PURPOSE To maintain a strict control and reporting of the distribution and maintenance of keys.

PROCEDURES PART I: EMPLOYEE REQUEST
 PART II: EMPLOYEE TERMINATING
 PART III: PRINCIPLE INVESTIGATOR/DIRECTOR
 REQUEST
 PART IV: OBSOLETE KEYS
 PART V: KEY LOG MAINTENANCE
 PART VI: FILING

STATEMENT

For security of assets and other sensitive documents, there will be strict control of the allocation of keys.

PART I: EMPLOYEE REQUEST

Research Students, Faculty Members, Staff and Researchers are given keys upon request in the following manner:

Research student – Key request authorized by the PI for labs.

Researchers – Key request authorized by their PI for labs.

Faculty- Request individual keys for their labs offices and the main office.

Staff – Key request authorized by DBA or PI for which the individual works for the main office and other areas of responsibility.

Facility manager (staff) – Key request authorized by the chairman for all teaching labs and general areas, and in some cases, key are issued for faculty members areas as authorized by individual faculty members. This is generally the person on call in case of emergency. This information is posted on each door.

PART II: EMPLOYEE TERMINATING

When employees are leaving the university or being terminated, a list of the keys issued to the employee is requested from Key Control. The employee is asked to return the key on the list to the department. The department then returns the keys to Key Control with a memo or note. This process is part of employee out-processing for Departmental Payroll and Human Resources,

Once per year the department will request from Key Control, a list of all employees with keys and the date the keys were issued to them. The department

will reconcile this list to the departmental database. This list will also be verified to ensure that terminated employee keys are being returned.

In the event that keys to a secure area are still outstanding and not turned in by a terminated employee, the faculty member, chairman, or Business Administrator can request, from key control, a change of lock for that area.

PART III: PRINCIPLE INVESTIGATOR/DIRECTOR REQUEST

There have been instances where faculty members will request several keys for their area, then distribute them to students and researchers. Each year, the department will distribute the reports to faculty members and staff only, so that they are aware of the outstanding keys.

PART IV: OBSOLETE KEYS

Any obsolete key or keys that have been changed due to a new lock being installed that still remain on the key control record list should be researched and updated with Key Control.

PART V: KEY LOG MAINTENANCE

Key control forms are logged into the departmental database for easy reference by the department.

PART VI: FILING

The Key control forms are filed in the personnel folder of the individual key holder.

**COLLEGE OF NATURAL SCIENCES AND MATHEMATICS
CONTRACT ADMINISTRATION POLICY AND PROCEDURES**

PURPOSE This document sets forth requirements applicable to all contractual instruments for services.

REFERENCES MAPP 04.04.01A, SAM 03.A.05

PROCEDURES

PART I:	STEPS
PART II:	TYPES OF CONTRACTS
PART III:	WARNINGS
PART IV:	PROCESSING FLOWCHART
PART V:	FORMS
PART VI:	POWERPOINT TRAINING PRESENTATION

Contracts, Agreements and Amendments must be prepared on all payments for goods and services in which the University has material influence over the outcome. All contracts must be fully executed by all required parties prior to the start date of the agreement. Individuals who enter into agreements before delegated signatory approval has been secured may be personally liable for payments for these services. Contracts/Agreements must be sent to the individual/company/agency as a confirming invitation prior to the scheduled service. The department must detail the specific service, compensation offered and dates (i.e. who, what, where, when, and how much).

PART I: STEPS

- Step 1 Identify which contract form to use. Forms are located on the [OCG Website](#).
- Step 2 Completed Contract Cover Sheet and obtain the necessary information:
1. The name, street address, city, state, telephone and fax number and e-mail address of the non-UH party;
 2. The name and title of the person who will sign on behalf of the non-UH party, if the non-UH party is a corporation;
 3. The social security number or the tax identification number for the non-UH party;
 4. The amount that will be paid or received (if a revenue-generating contract);
 5. The UH cost center(s) and account number from which payments will be made or into which revenues will be deposited;
 6. A detailed description of goods or services or space (if a lease) that UH is procuring or providing (if a revenue-generating contract) or the arrangements for an affiliation/practicum site for a clinical program;
 7. The start date for the contract; and
 8. The expiration date for the contract.

- Step 3 Original signed contracts must be forwarded to the Office of Contracts Administration or Office of Grants and Contracts within 10-business day prior to the contract start date.
- Step 4 If the contract are not able to submit for processing within the time frames specified above, then must complete and submit a *Justification for Untimely Contract Submittal Form* with the contract.
- Step 5 The Department Business Administrator will review the contractual documents for accuracy, appropriateness, availability of funds, and compliance within university policy.
- Step 6 The Department Business Administrator will certify approval of the contractual documents and transaction by signing the Contract Cover Sheet and forward to the College Business Administrator for approval.
- Step 7 Retain a copy of executed contracts on file and forward to the Office of Contracts Administration or Office of Grants and Contracts for approval. The following documents should be send:
- One (1) copy of the completed Contract Cover Sheet;
 - Three (3) originals or copies of the contract;
 - Three (3) originals or copies of the Alternative Dispute Resolution form; and
 - any other forms and/or information required for processing the contracts.
- Step 8 Amendments – to submitting for processing must prepare a Contract Cover Sheet.

PART II: TYPES OF CONTRACTS

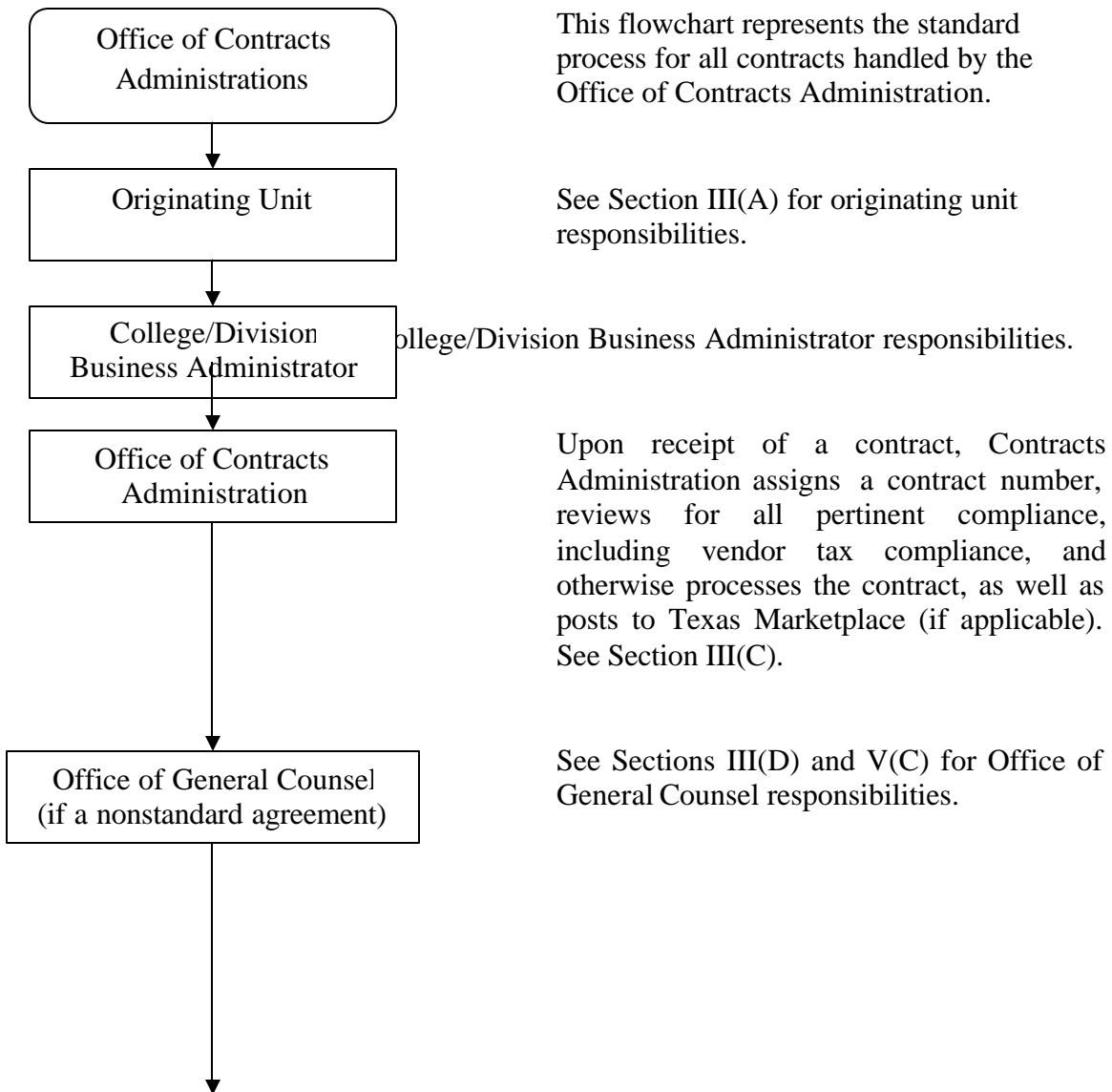
- Standard Contracts – Less than \$5,000.00: OGC Standard Contracts for which funds of less than \$5,000.00 will be paid or generated – the Division or College Business Administrator.
- Nonstandard Contracts – Less than \$5,000.00: Non-Standard contracts for which funds of less than \$5,000.00 will be paid or generated – the Associate Vice President/Vice Chancellor for Administration.
- Contracts Expending Funds of \$5,000.00 or more – Any contract for which \$5,000.00 or more will be paid or generated – the Vice Chancellor/Vice President for Administration and Finance.

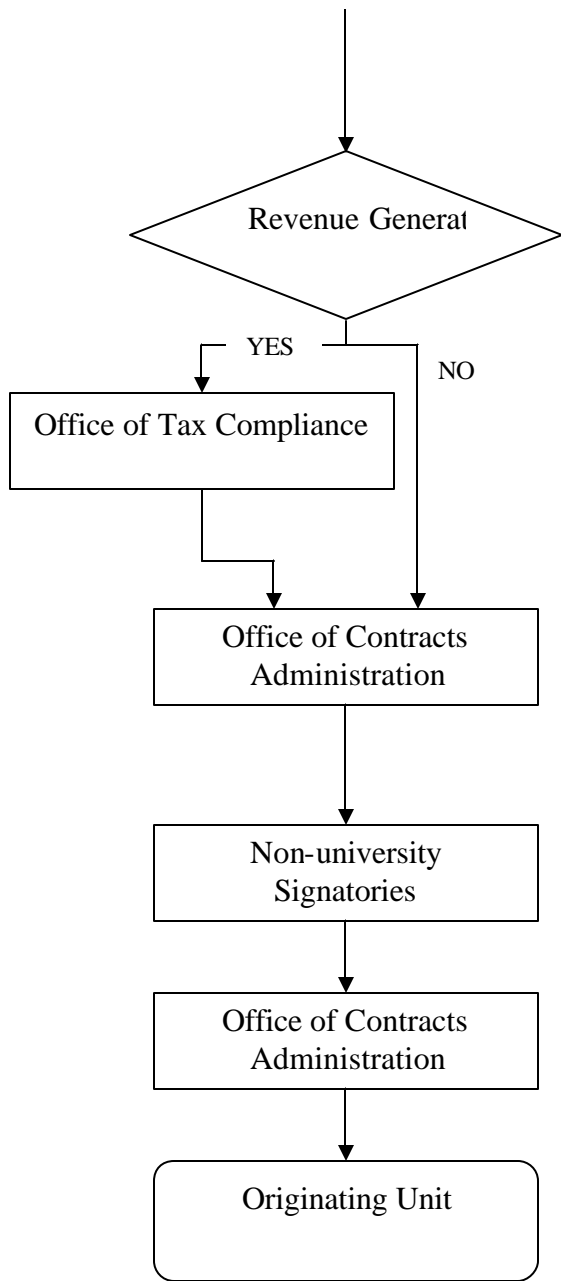
PART III: WARNINGS

- Do not submit contracts or forms that contain handwritten information. A contract is a legal document; therefore, only the parties' signatures should be handwritten.
- The statement of Services should be detailed enough so that the non-UH party knows exactly what is expected or it/him/her.

PART IV: PROCESSING FLOWCHART

The Office of Contracts Administration, in collaboration with the Office of General Counsel, has responsibility for processing contractual instruments. The flowchart in this Addendum illustrates the steps in routing general university contracts through their respective processes.





See Section IV(D) for information on revenue-generating contracts.

Contracts Administration assists the originating unit in obtaining signatures of appropriate university signatories and routes the contract to non - university part(ies) for signing.

The non-university party(ies) sign the contract and return an original contract to Contract Administration.

Contract Administration ensures that the executed contract, with all exhibits, attachments, and forms, is in compliance with state law, rules and regulations, as well as University policies.

Copy of the contract is forwarded to the originating unit.

PART V: FORMS

- Office of Contracts Administration
 - Office of Grants and Contracts
 - Federal Project Contract form
 - Non-Federal Project Contract form
- Nonresident Alien Information
- Child Support Certification
- Alternative Dispute Resolution Clause
- Out-of-State Vendor Certifications
- Financial Obligations to the State of Texas
- Justification for Untimely Contract Submittal
- Justification for Proprietary (Sole Source) Acquisition
- Amendment
- Recommendation for Award Form

Addendum B



**CONTRACT COVER SHEET AND APPROVAL FORM
Office of Contracts Administration**

Contract No.: K- _____
(To be entered by Contracts Administration)

General Information

UHS/UH Department: _____
Contact Person: _____
Campus Address: _____
Telephone: (_____) _____ Fax (_____) _____ Email _____
Business Administrator: _____
Telephone: (_____) _____ Fax(_____) _____ Email _____

Summary of Contract Terms

Contract with: _____
NAME OF CONTRACTOR
Tax ID or SS Number: _____ Contact person: _____
NAME
Street Address: _____ City, State and Zip Code: _____
Description: _____
GOODS AND/OR SERVICES TO BE PROCURED, PHYSICAL LOCATION, ETC.
Contract Term: Start ___/___/___ End ___/___/___
Total Amount of Contract: _____
Source of Funds: Cost CTR No.: _____ Revenue CTR No.: _____
Acct: _____ Acct: _____

Authorized Signatory: _____
IDENTIFY WHO WILL SIGN CONTRACT ON BEHALF OF THE UNIVERSITY OF HOUSTON SYSTEM PURSUANT TO MAPP, SAM AND BOARD POLICIES

Certifications: Complete before sending with contract to Office of Contracts Administration.

<u>REQUIREMENT</u>	<u>CERTIFIED BY</u>	<u>DESCRIPTION</u>
Originating Unit of the transaction	_____	Ensures primary responsibility for the contract, from inception to completion (See MAPP 04.04.01A (IV)(C)).
Original Contracts from the And signatures	_____	Two (2) original contracts (not facsimiles) have been submitted and original signatures contracting parties will be obtained before the beginning date of the contract.
Contract, Exhibits, And Appendices	_____	1) The contract and all documents incorporated by reference in the contract, including exhibits and appendices, are attached; and 2) All such documents have been read and agreed to in their entirety by originating department and any faculty and staff members who have obligations under this contract.

Addendum B (Page 2)

Contracting Party _____	The name of the contracting party is stated as the University of Houston System or its component institutions (e.g., University of Houston, University of Houston - Victoria), and is not a department or program.
Competitive Bid Requirements _____	The proper procurement method has been used which provides the best value to the University in making the contract award. (See MAPP 04.04.01A (V)(A)).
Consulting and reporting Professional Services Contracts Administration Contracts _____	Consulting and Professional Services Contracts are subject to specific notice requirements that require the originating unit to contact the Office of for assistance (See MAPP04.04.01A (V)(C)).
Standard Form have been made, of Agreement _____	If a standard form of agreement, I certify that no changes to the agreement including additional attachments or addenda. If changes have been made, I have attached and highlighted those portions of the agreement.

Certification of University Employee(s) With Responsibility for Ensuring Contract Terms and Conditions are Met

I have read this contract entirely. I am satisfied with its description of the goods and services to be provided to the University (including, for example, warranties, delivery terms, acceptance period, and maintenance terms). I am also satisfied with the description of the University 's obligations (including, for example, scope of work, payment due dates, late charges, tax, charges, insurance, and confidentiality requirements) and all other provisions of this contract, except as noted in any attached memorandum. A memorandum [is] ,[is not] ,(circle one) attached. **I acknowledge responsibility to ensure that all good faith efforts are employed in seeing that all terms, conditions and responsibilities of the contract are met.**

Name	Signature	Date
Title		
Name	Signature	Date
Title		

UH Provisions – Each provision must be reviewed for contract applicability.

REVIEW COMPLETED BY:

Name	Signature	Date
-------------	------------------	-------------

1. **Nondiscrimination.** The parties agree to comply with all applicable state and federal laws, rules, regulations and executive orders governing equal employment opportunity, immigration, nondiscrimination, including the Americans with Disabilities Act.
2. **Child Support.** Contractor certifies that the individual or business entity named in this Agreement is not ineligible to receive payment from the state and acknowledges that this Agreement may be terminated and payment may be withheld if this certification is inaccurate.
3. **University of Houston System Alternative Dispute Resolution Clause.** Effective August 30, 1999, Government Code Chapter 2260 requires that each contract entered into by the University of Houston System and its component institutions for goods or services, or for a building or construction contract under section 2166.001 of the Government Code, include a provision, developed with the Attorney General's assistance, stating that the parties will use the dispute resolution process provided for in chapter 2260 to attempt to resolve disputes arising hereunder.

Office of Contracts Administration • 341 McElhinney Hall• Houston, Texas 77062 • Phone (713) 743-5656

OGC Form No. S-98-5

AGREEMENT

This Agreement is entered into between the University of Houston through the Department/College/
Division of _____ (“University”) and _____
 (“Contractor”) for the purpose of defining the services being offered to the University.

1. **STATEMENT OF SERVICES TO BE PERFORMED** (attach detailed description if necessary):

2. **COMPENSATION:**
The University shall compensate the Contractor in the amount of _____, plus reasonable travel and other business-related expenses (when applicable; upon submission of receipts) not to exceed _____, for a total payment not to exceed _____.

3. **TERMS OF THE AGREEMENT:**
 - a. Services are to begin on _____ and will terminate on _____.

 - b. All applicable laws, regulations, and University of Houston policies and procedures relative to conduct on University premises shall govern the services provided under this Agreement.

 - c. Contractor agrees to indemnify and hold harmless the University from any claim, damage, liability, injury, expense, or loss arising out of his/her performance under this Agreement.

 - d. This Agreement shall be construed under the laws of the State of Texas, and venue in any action brought hereunder shall be in Harris County, Texas.

 - e. Contractor certifies that he/she is not currently employed by the University of Houston or any component of the University of Houston System. **If Agreement provides for consulting services (as defined):** Contractor certifies that he/she has not been an employee of the University of Houston System during the previous twelve (12) month period.

 - f. This Agreement constitutes the sole agreement of the parties and supercedes any other oral or written understandings or agreements and may only be amended in writing. It is not assignable.

 - g. The University or Contractor can terminate this Agreement in writing at any time with _____ days notice. University shall only be liable for payment of services and expenses incurred prior to termination. "
 - h. Alternative Dispute Resolution.
 - (1) The dispute resolution process provided for in Chapter 2260 of the Government Code shall be used, as further described herein, by the University and the contractor to attempt to resolve any claim for breach of contract made by the contractor:
 - (A) A contractor’s claims for breach of this contract that the parties cannot resolve in the ordinary course of business shall be submitted to the negotiation process provided in Chapter 2260, subchapter B, of the Government Code. To initiate the process, the contractor shall submit written notice, as required by subchapter B, to [for the System, the Chancellor; for component institutions, the President] or his/her designee.

Said notice shall specifically state that the provisions of Chapter 2260, subchapter B, are being invoked. A copy of the notice shall also be given to all other representatives of the University and the contractor other wise entitled to notice under the parties' contract. Compliance by the contractor with subchapter B is a condition precedent to the filing of a contested case proceeding under Chapter 2260, subchapter C, of the Government Code.

(B) The contested case process provided in Chapter 2260, subchapter C, of the Government Code is the contractor's sole and exclusive process for seeking a remedy for any and all alleged breaches of contract by the University if the parties are unable to resolve their disputes under subparagraph (A) of this paragraph.

(C) Compliance with the contested case process provided in subchapter C is a condition precedent to seeking consent to sue from the Legislature under Chapter 107 of the Civil Practices and Remedies Code. Neither the execution of this contract by the University nor any other conduct of any representative of the University relating to the contract shall be considered a waiver of sovereign immunity to suit.

(2) The submission, processing and resolution of the contractor's claim is governed by the published rules adopted by the Attorney General of the State of Texas pursuant to Chapter 2260, as currently effective, hereafter enacted or subsequently amended. These rules are found at 1 T.A.C. Part 3 Chapter 68.

(3) Neither the occurrence of an event nor the pendency of a claim constitute grounds for the suspension of performance by the contractor, in whole or in part.

- i. Under section 231.006 of the Family Code, Contractor certifies that the individual or business entity named in this contract is not ineligible to receive the specified payments under this contract and that this contract may be terminated and payment may be withheld if this certification is inaccurate.
- j. Contractor is an independent contractor and not an agent or employee of the University.
- k. If Contractor is not a United States citizen/national or a Permanent Resident Alien, provide information under "Nonresident Alien Information" on back.

UNIVERSITY OF HOUSTON

CONTRACTOR *(Note: If you are a minority or woman owned business, are you interested in HUB certification? yes/no If yes, our HUB office will contact you).*

Signature _____

Signature _____

Name _____ Date _____

Name _____ Date _____

Signature _____

Business _____ Title _____

Name _____ Date _____

SSN or Tax ID# _____

UH Mailing Address: _____

Address: _____

ATTN: _____

Note: Modification of this Form requires approval of OGC

Nonresident Alien Information

Important Note – If you are a Nonresident Alien and wish to claim exemption from withholding from U.S. Federal Income Tax based upon an Income Tax Treaty, you must have a U.S. Social Security # and submit two (2) original copies of Form 8233 (Exemption From Withholding on Compensation for Independent (and Certain Dependent) Personal Services of a Nonresident Alien Individual).

 (Name – Family, First, Middle) _____
 (U.S. Social Security #)

 (Country of Residence for Income Tax Treaty Determination) _____
 (Visa #)

 (Country Issuing Passport) _____
 (Passport #)

 (Permanent Street Address to be used for year-end tax reporting)

 (City) (State or Province) (Zip or Postal Code) (Country)

How many days will you be in the United States this calendar year? _____

 (Description of personal services to be performed for the University of Houston)

VISA TYPE– Please indicate the immigration designation with which you intend to enter the United States on this visit.

B-2 or WT (visa waiver tourist classification)*

B-1 or WB (visa waiver business classification)*

J-1 Exchange Visitor or Short Term Scholar.

Q-1 Participant in an International Cultural Exchange Program.

Other – please specify: _____

* Acceptance of honorarium payment and associated incidental expenses for usual academic activity (lasting not longer than nine days) from any component of the University of Houston System is permitted if payment is made for services conducted for the benefit of the University and provided such payment or associated incidental expenses has not been accepted from more than five qualifying institutions or organizations in the previous 6-month period.

Under penalties of perjury, I hereby certify that the information provided above is, to the best of my knowledge, true, correct, and complete.

Signature: _____

Date: _____

OGC-S-99-25

**UNIVERSITY OF HOUSTON SYSTEM
CHILD SUPPORT CERTIFICATION**

**TEXAS FAMILY CODE, SECTION 231
INELIGIBILITY TO RECEIVE STATE GRANTS, LOANS, OR RECEIVE
PAYMENT ON STATE CONTRACTS**

“A child support obligor who is more than 30 days delinquent in paying child support, and a business entity in which the obligor is a sole proprietor, partner, shareholder, or owner with an owner interest of at least 25 percent is not eligible to receive payments from state funds under a contract to provide property, materials or services; or receive a state - funded grant or loan until:

1. All arrears have been paid; or
2. The obligor is in compliance with a written repayment agreement or court order as to any existing delinquency.

CERTIFICATION STATEMENT

Under Section 231.006, Family Code, the vendor or applicant certifies that the individual or business entity named in this contract, bid, or application is not ineligible to receive the specified grant, loan, or payment and acknowledge that this contract may be terminated and payment may be withheld if this certification is inaccurate.

I, the undersigned, hereby certify that I am in compliance with the Texas Family Code, Section 231.006.

AGREED TO BY:

CONTRACTOR

By: _____

Name: _____

Title: _____

Date: _____

OGC Form No. S-99-25:
Approved for use as a Standard Agreement
By the University of Houston System Office of
the General Counsel 7/24/99

**Note: Modification of this Form
requires approval of OGC**

JUSTIFICATION FOR UNTIMELY CONTRACT SUBMITTAL

University Department/Division/College: _____

Originating Department/Division/College Contact: _____

Vendor's Name: _____

UNIVERSITY POLICY REQUIRES ALL CONTRACTS TO BE EXECUTED BY THE PARTIES PRIOR TO THE START DATE FOR SERVICES.

Although the majority of University contracts certified as standard contracts by the Office of General Counsel can be processed within ten (10) business days, certain contracts require more lead time for review by the Office of General Counsel and/or for effecting compliance with statutory, regulatory, and/or Board of Regents requirements. Examples of contracts that require greater lead time for processing include the following:

- **Contracts that are not certified as standard agreements by the Office of General Counsel (need at least 15 business days for legal review and revision, as applicable).**
- **Contracts for which Board of Regents approval must be obtained (need at least two (2) months).**
- **Contracts for consulting services for which payment in excess of \$15,000 will be made, in whole or in part from state funds (need at least six weeks to comply with Texas law).**
- **Contracts to obtain the services of foreign nationals (length of time for processing necessary permits or papers varies - consult the Human Resources Department, (713) 743-5713).**

Please explain, in the space provided below, why the above-listed contract was not submitted for processing in time for execution of the contract prior to the start date for services. Include the completed form with the contract at the time the contract is submitted for processing. This form will be forwarded with the contract for signature by the appropriate University official. If you have questions in regard to this form, call Marlon S. Garcia, at X35650.

Reason(s) for Delayed Submission of Contract for Processing

Signature of College/Department/Division Administrator:

Date: _____ *Phone Number:* _____ *Fax Number:* _____

JUSTIFICATION FOR PROPRIETARY (SOLE SOURCE) ACQUISITION

REQUISITION/CONTRACT NO. _____

This completed form must be included with each requisition/contract that provides for proprietary (sole source) acquisition of goods or services valued at a total amount of \$2000 or more from state funds or \$5000 or more from local funds. If more space is needed, please attach additional page(s).

1. **Unique Features.** Specify the unique features or characteristics of the goods or services that are requested:

2. **Special Needs.** Briefly explain why the unique specifications restrict the requisition to one manufacturer or provider:

3. **Other Sources.** State the reason or reasons why competing goods or services are not satisfactory, e.g., a justification for the proprietary (sole source) acquisition:

I certify that the above statements are true and correct, to the best of my knowledge. I also certify that neither I nor my family members will gain or receive any additional benefit because I have recommended that this acquisition be obtained solely from a designated vendor or contractor.

Submitted By:

		/
Signature of Individual Requesting the	Proprietary Acquisition	Date
Printed Name of Individual Requesting	the Proprietary Acquisition	Title

	/
<i>College/ Department/Division</i>	<i>Date</i>

	/
Signature of Division Administrator:	<i>Date</i>

For additional information, refer to section 2~21 of the *State of Texas 1998 Procurement Manual*, which may be accessed at <http://www.tbpc.state.tx.us/stpurch/pm/2-21.html>.

DO NOT WRITE BELOW THIS LINE
FOR OFFICE USE ONLY

	/
Signature of the Director of Purchasing or the Director's Authorized Designee:	<i>Date</i>

CONTRACT NO. _____

**AMENDMENT TO AGREEMENT
BETWEEN
UNIVERSITY OF HOUSTON
AND**

THIS AMENDMENT is entered into by and between the _____
Department of the University of Houston (the UNIVERSITY) and
_____ (the CONTRACTOR). The UNIVERSITY and
CONTRACTOR shall be known collectively as “the Parties” and singularly as “a Party” or “the Party.”
This Amendment incorporates by reference the attached Agreement titled,
"_____" (“the Agreement” or “this Agreement”), as if set out herein. To the
extent the terms, provisions, covenants, or conditions in this Amendment are inconsistent with those in the
Agreement, the terms, provisions, covenants, or conditions in this Amendment shall control and be binding
on the Parties as of the Effective Date of this Amendment. All other terms, provisions, covenants, and
conditions in the Agreement shall remain in full force and effect and shall not be superceded by this
Amendment.

SPECIFIC MODIFICATIONS TO BE MADE TO THE AGREEMENT:

Amendment Execution. Each multiple original of this document shall be deemed an original, but all multiple copies together shall constitute one and the same instrument.

IN WITNESS WHEREOF, the authorized representatives of the Parties have executed this Amendment in multiple originals, to be effective as of the latest date on which it is executed by the authorized representatives of the Parties.

UNIVERSITY OF HOUSTON:

CONTRACTOR:

BY: _____
Name

BY: _____
Name

Title

Title

Date

Date

RECOMMENDATION FOR AWARD FORM

CONTRACT NO. _____

Section IV (A)(1) of MAPP Policy 4.04.01A on Contracting requires the following:

All contracts must be submitted for processing with a completed Recommendation for Award form showing the basis by which an award is recommended. The Recommendation for Award form must provide information pertinent to all of the following: (a) which procurement method used; (b) price tabulations outlining the price acquisition process; (c) prices obtained in arriving at best value to the University; (c) bases for best value to the University; and (d) the name of the preferred vendor.

RECOMMENDATION FOR AWARD

Procurement Method Used (Describe the process by which price information was obtained, for example, phone bids, invitation to bid, RFP).

Prices Tabulations (Delineate prices obtained in arriving at best value):

Basis for Best Value to the University:

Preferred Vendor:

College/Department/Division:

Signature of College/Department/Division Administrator:

Date/Phone Number/Fax Number:

DO NOT WRITE BELOW THIS LINE
FOR OFFICE USE ONLY

***Reviewed by the Executive Director for Contracts Administration
or the Executive Director's Authorized Designee:***

_____/_____
Date

OGC-S-2000-14

[Effective September 1, 1997, Government Code Section 2155.004 requires that each contract entered into by the University of Houston System and its component institutions and an individual not residing in the State or a business entity not incorporated in or whose principal domicile is not in this State, include a clause, as set forth below, by which the vendor certifies that it is not ineligible to receive a contract and acknowledges that the contract may be terminated, or payment withheld, unless the vendor has a permit issued by the Comptroller or the vendor does not sell property or services subject to tax.]

Out-of-State Vendor Certifications
Government Code ~ 2155.004

Contractor acknowledges that, pursuant to Government Code § 2155.004, the University may not accept a bid or award a contract to (i) any individual not residing in this State, or (ii) any business entity not incorporated in or whose principal domicile is not in this State, unless the individual or business entity:

1. Holds a permit issued by the Texas Comptroller of Public Accounts to collect or remit all state and local sales and use taxes that become due and owing as a result of the individual's or entity's business in this State; or
2. Certifies that it does not sell tangible personal property or services that are subject to the state and local sales and use tax.

Under Section 2155.004, Government Code, the Contractor certifies that the individual or business entity named in this bid or contract is not ineligible to receive the specified contract and acknowledges that this contract may be terminated and payment withheld if this certification is inaccurate.

AGREED TO BY:

CONTRACTOR

By:

Name: _____

Title: _____

Date: _____

OGC Form No. S-2000-14:
Approved for use as a Standard Agreement
By the University of Houston System Office of the General Counsel 5/5/2000
Note: Modification of this Form Requires approval of OGC
Office of the General Counsel
Out-of- State Vendor Certifications OGC-S-2000-14 Approved 5/5/2000

OGC-S-2000-13

[Effective September 1, 1999, Government Code Section 403.055 requires that ~f the Texas Comptroller of Public Accounts is currently prohibited from issuing a warrant to a vendor because of outstanding obligations to the State of Texas, the University of Houston System and its component institutions may not sign a contract with the vendor unless the vendor agrees to a contract clause under which any payments owing to the person under the contract will be applied towards the debt or delinquent taxes that the vendor owes the State until the debt or delinquent taxes are paid in full.]

Financial Obligations to the State of Texas
Government Code ~ 403.055

Contractor acknowledges that, pursuant to Government Code § 403.055, that if the Texas Comptroller of Public Accounts is currently prohibited from issuing a warrant to the Contractor, Contractor agrees that payments under the attached Agreement will be applied towards the debt or delinquent taxes owed to the State of Texas until the debt or delinquent taxes are paid in full.

AGREED TO BY:

CONTRACTOR

By: _____

Name: _____

Title: _____

Date: _____

OGC Form No. S-2000-13:
Approved for use as a Standard Agreement
By the University of Houston System Office of the General Counsel 5/5/2000
Note: **Modification of this Form requires approval of OGC**