

BUDGET AND HUMAN RESOURCES

		Yes	No	Comments
Budgeting, Accounting, And Financial Reporting				
1.	Does fiscal staff possess basic accounting skills and knowledge necessary to adequately perform their responsibilities?			
2.	Are departmental ledgers reviewed and reconciled to supporting documentation at least monthly?			
3.	Is the staff performing the reconciliation separate from the staff initiating and finalizing transactions?			
4.	Does management review the reconciled ledgers and supporting documentation and sign off on prior to the end of the second succeeding month?			
5.	Are financial reports comparing budgeted balances with actual financial activity generated and reviewed by appropriate management?			
6.	If fund or cost center deficits are anticipated, are appropriate levels of management notified in a timely manner and is appropriate corrective action taken?			
Human Resource Management				
7.	Are the appropriate criminal history background checks being performed when required.			
8.	Are I-9 forms being processed within three days of date of hire?			
9.	are I-9 forms being retained according to the appropriate guidelines?			
10.	Are employees aware of the sexual harassment policy? https://policy.unt.edu/policy/16-005			
11.	Are duties relating to processing and approving personnel actions segregated?			
12.	In addition to the central Office of Human Resources file, does the unit maintain personnel files that include current job descriptions and performance appraisals?			
13.	Are personnel records maintained in accordance with retention schedules and access to confidential records limited to those on a "need to know" basis?			
14.	Are performance evaluations submitted on a timely basis to the Office of Human Resources?			
15.	Are employees who are covered by the Fair Labor Standards Act (FLSA) (Non-exempt/hourly employees) compensated for overtime worked?			

16.	Is an employee's medical information (such as FMLA) housed in a confidential manner and kept in a separate file that is not part of the employee's personnel file?			
17.	Are procedures in place to ensure awareness and compliance with the University's policy for reporting outside employment activities and any potential conflicts of interest?			
18.	Is the supervisor of record listed in EIS the employees direct supervisor?			