College/Division Administrator Meeting
Room 302, Melcher Hall
April 11ᵗʰ, 2019 - 9 AM to 11 AM

Minutes

Susan Koch , Chief Compliance Officer
- Policies now fall under the Compliance Office
- The Compliance Office is looking for ways to improve the communication of policy changes in a way that makes it easier for users to identify and understand the changes
- The Compliance Office is seeking feedback for what users want and need for policies and policy changes
- Communication of Revisions - the Compliance Office is changing how policy change information is presented and distributed.
  o Rather than describing the administrative process, the communications now summarize the policy and provide a high level description of the changes.   A sample of the change in format was distributed and is linked from the meeting minutes page at http://www.uh.edu/af/committees/colldivadmin.htm.
  o Sending a separate email for each policy results in many emails. The Compliance Office requests feedback on whether a consolidated email would be more appropriate and what frequency would be sufficient.
    ▪ The consensus from the CDA meeting was that a single email once per week would be preferred.
- Policy Cover Sheets are now being required for new policies and for policy revisions.
  o This is an internal form, used to identify a summary of the policy, the purpose of the changes, identify the affected groups, the reason for the change, and provide a contact person.
  o A sample of the format was distributed and is linked from the meeting minutes page at http://www.uh.edu/af/committees/colldivadmin.htm.
  o This will help people to know what is important in the policy change and to direct people to the proper person for any questions.
  o Subject Matter Experts should be counseled to include the effect on daily operations in the purpose of the change, if applicable.
- Policy Website and Update Status
  o The Compliance Office is looking at ways to improve the information on their website regarding where policies are in the approval process and what information is provided in the website.
    ▪ They plan to include the redlined policy both during the review process and after the review process is complete
    ▪ They plan to list a policy only one time and indicate where it is in the review cycle rather than having separate sections of the website for each portion of the review cycle
    ▪ They plan to change the current "proposed changes" section to provide more useful data
- Revision History Logs

- o The Compliance Office has identified that the current revision history, which describes policy changes, is not the standard format use. In addition, it can make policies very long and is infrequently used.
  - o While the policy on policies states that a revision log is needed, they are considering changing it to just the date of the revisions with a reference to where the redlined version from that revision can be obtained.
- Housekeeping Changes
  - o Housekeeping changes are defined as changes that do not affect the substance of the policy, such as fixing a broken link, updating an address or phone number, or updating a job title or department name
  - o Unscheduled housekeeping changes are reviewed by the Compliance Office to ensure that the changes are truly housekeeping
  - o Unscheduled housekeeping changes are not sent out for review nor are notices sent to the campus
    - ▪ When policies that come up in the review cycle have only housekeeping changes, those changes are still distributed for review and communicated
- Policy Review Cycle
  - o The policy review cycle is changing to five years
  - o Subject matter experts will be required to attest that the policy requires no changes if the policy is not updated.

Pam Muscarello, Executive Director College/Division Business Operations
- Deposits for Sponsored Projects
  - o DOR is going to do additional research into the issue of transporting checks for the payment of sponsored research invoices with no deposit journal between departments and DOR Business Operations
- Gift Card Handling for Human Subjects Compensation
  - o There is a fundamental conflict between the requirement to keep human subjects confidential and the requirement to both process payments to employees through HR and to track payments for 1099 reporting
  - o DOR is putting together a team to review the issue and identify a recommendation. Contact Pam Muscarello if you are, or have a team member that is, interested in participating.
  - o All Human Subjects must have their identity protected, regardless of whether or not the study is considered confidential.
  - o Departments are to stop uploading the names of Human Subjects to PS Finance. Study ID's may still be used.
  - o Areas that may have uploaded such information to Finance should contact Accounts Payable (Samatha Yurus, Cissy Bean) for vouchers or Accounting Services (Gretta McClain Gibbs, Jane Floyd) for journals and SC Vouchers to request that attached documents be restricted as sensitive documents. The exact document ID must be provided.

Karin Livingston, AVP for Finance & Controller
- When to use a contract and when to use a Purchase order is on the Purchasing website. This document identifies general guidelines and also provides direction for specific situations

- Purchasing should be ready to move to a dedicated team model by June

Other items from the group
- HR is looking into processing payroll encumbrances for exempt employees twice per month
- Finance will request clarification for students that also serve as performers