Segregation of Duties Matrix

Department/ Section:____

Preparer's Name: ____

Instructions**: Indicate positions with responsibility for each administrative task. Does a separation of duties exist for all financial transactions and HR related entries? For exceptions, add comments to note if there are mitigating controls in place to reduce risk.* ***Modify position titles and add columns, as needed.

Does the employee understand and fulfill the responsibilities of this position?

Administrative Tasks

Administrative Tasks	Y/N	Who Does It?									
		Dept Head	Admin	Assoc. Admin	Asst. Admin	Accountant/ Financial Analyst	Financial Asst	Admin Asst	PI		
Human Resources / Payroll											
Casual Payroll - Oracle Data Entry											
Casual Payroll - Oracle Approval											
C&T Payroll - Oracle Data Entry											
C&T Payroll - Oracle Approval											
Casual Employee Set Up - Prepares											
Casual Employee Set Up - Approves											
Reconciles/Reviews HR/Payroll transactions											
JSA											
Prepares											
Approves											
Reconciles/Reviews Activity											
LDA											
Prepares											
Approves											
Reconciles/Reviews Activity											
RIF											
Receives cash/checks											
Prepares RIFs											
Reconciles/Reviews Activity											
Accounts Payable / Procurement											
Check Requests - Prepares											
Check Requests - Approves *(indicate dollar threshold in cell)*											
Ok to Pay Invoices - Initiates/Processes invoices for payment											
Ok to Pay Invoices - Approves *(indicate dollar threshold in cell)*											
Subcontract Invoices - Initiates/Processes invoices for payment											
Subcontract Invoices - Approves											
Paper Purchase Requisitions - Prepares											
Paper Purchase Requisitions - Approves											
Reconciles/ Reviews Activity											