

UH System Cinco Ranch H0697  
Baseline Standards  
FY 2014

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
<b>DEPARTMENTAL POLICIES &amp; PROCEDURES / BASELINE STANDARDS</b>			
1	Ensuring the Departmental Policy and Procedures manual is current.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
2	Updating the Baseline Standards Form.	Carolyn Martinez, Program Manager	Mary Gonzales, Financial Coordinator
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
2	Reviewing cost center verifications.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
3	Approving cost center verifications.	Susan Reynolds, Director of Operations	Dick Phillips, AVP/AVC
4	Ensuring all cost centers are verified/approved on a timely basis.	Susan Reynolds, Director of Operations	Carolyn Martinez, Program Manager
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Carolyn Martinez, Program Manager	Mary Gonzales, Financial Coordinator
2	Ensuring the validity of travel and expense reimbursements.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
3	Ensuring that goods and services are received and that timely payment is made.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
4	Ensuring correct account coding on purchases documents.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
5	Primary contact for inquiries to expenditure transactions.	Carolyn Martinez, Program Manager	Mary Gonzales, Financial Coordinator
<b>PAYROLL / HUMAN RESOURCES</b>			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
2	Reconciling bi-weekly leave accruals to the HR System.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
4	Ensuring all monthly leave is recorded and approved in the HR System.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
6	Completing termination clearance procedures.	Carolyn Martinez, Program Manager	Mary Gonzales, Financial Coordinator
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
8	Paycheck distribution.	Carolyn Martinez, Program Manager	Mary Gonzales, Financial Coordinator
9	Maintaining departmental Personnel files.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
10	Ensuring valid authorization of new hires.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
11	Ensuring valid authorization of changes in compensation rates.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
12	Ensuring the accurate input of changes to the HR System.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
13	Propriety of leave account classification on time records.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
14	Consistent and efficient responses to inquiries.	Carolyn Martinez, Program Manager	Mary Gonzales, Financial Coordinator
<b>CASH HANDLING</b>			

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1	Collecting cash, checks, etc.	Gloria Graham, Office Coordinator	Wilkes Owen Campbell, Program Coordinator
2	Reconciling cash, checks, etc. to receipts.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
3	Preparing deposits.	Gloria Graham, Office Coordinator	Wilkes Owen Campbell, Program Coordinator
4	Preparing Journal Entries.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
5	Verifying deposits posted correctly in the Finance System.	Mary Gonzales, Financial Coordinator	Carolyn Martinez, Program Manager
6	Adequacy of physical safeguards.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
7	Transporting deposits to Student Financial Services. (UH System at Cinco Ranch deposit is delivered to bank.)	Wilkes Owen Campbell, Program Coordinator	Gloria Graham, Office Coordinator
8	Ensuring deposits are made timely.	Carolyn Martinez, Program Manager	Mary Gonzales, Financial Coordinator
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
10	Updating Cash Handling Procedures as needed.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
11	Distribution of Cash Handling Procedures to employees who handle cash.	Carolyn Martinez, Program Manager	Mary Gonzales, Financial Coordinator
12	Consistent and efficient responses to inquiries.	Carolyn Martinez, Program Manager	Mary Gonzales, Financial Coordinator
<b>PETTY CASH</b>			
1	Preparing petty cash disbursements.	NA	NA
2	Ensuring petty cash disbursements are not for more than \$100.	NA	NA
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	NA
4	Approving petty cash disbursements.	NA	NA
5	Replenishing the petty cash fund timely.	NA	NA
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	NA
<b>LONG DISTANCE CHARGES</b>			
1	Manager review of long distance charges for unusual activity.	NA	NA
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	NA	NA
<b>CONTRACT ADMINISTRATION</b>			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
<b>PROPERTY MANAGEMENT</b>			
1	Performing the annual inventory.	Cesar Banda, Microsystems Analyst	Ian Webb, User Services Spec.
2	Ensuring the annual inventory was completed correctly.	John McKee, Computing Services Manager	Cesar Banda, Microsystems Analyst
3	Tagging equipment.	Cesar Banda, Microsystems Analyst	Ian Webb, User Services Spec.
4	Approving requests for removal of equipment from campus.	John McKee, Computing Services Manager	Cesar Banda, Microsystems Analyst
<b>DISCLOSURE FORMS</b>			

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Susan Reynolds, Director of Operations	Carolyn Martinez, Program Manager
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Susan Reynolds, Director of Operations	Carolyn Martinez, Program Manager
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	NA	NA
ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	NA
2	Billing.	NA	NA
3	Collection.	NA	NA
4	Recording.	NA	NA
5	Monitoring credit extended.	NA	NA
6	Approving write-offs.	NA	NA
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Carolyn Martinez, Program Manager	Susan Reynolds, Director of Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	NA	NA
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	John McKee, Computing Services Manager	Cesar Banda, Microsystems Analyst
2	Ensuring that critical data back up occurs.	Cesar Banda, Microsystems Analyst	Mark Roskey, Systems Analyst 2
3	Ensuring that procedures such as password controls are followed.	Cesar Banda, Microsystems Analyst	Yung Tso, User Services Spec. 2
4	Reporting of suspected security violations.	John McKee, Computing Services Manager	Mark Roskey, Systems Analyst 2