

UH System Cinco Ranch H0697
Baseline Standards
FY 2015

| Description of Responsibility | | Responsible Person(s) (Name/Title) | |
|--|--|--|--|
| | | Primary (Required) | Secondary (Optional) |
| DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS | | | |
| 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 |
| FINANCIAL REPORTING - COST CENTER VERIFICATIONS | | | |
| 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 |
| FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS | | | |
| 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 |
| PAYROLL / HUMAN RESOURCES | | | |
| 1 | Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck. | Mary Gonzales, Financial Coordinator | Carolyn Martinez, Program Manager |
| 2 | Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll. | Mary Gonzales, Financial | Carolyn Martinez, Program Manager |
| 3 | Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines. | Mary Gonzales, Financial | Carolyn Martinez, Program Manager |
| 4 | Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM. | Mary Gonzales, Financial | Carolyn Martinez, Program Manager |
| 5 | Reconciling approved reported time and leave (bi-weekly & monthly employees) and ePARs (biweekly & monthly employees) to the trial and final payroll verification reports and off-cycle payrolls | Mary Gonzales, Financial Coordinator | Carolyn Martinez, Program Manager |
| 6 | Completing termination ePAR's within 24 hours of termination and completing the termination clearance form. | 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 | Maintaining departmental personnel files. | Carolyn Martinez, Program Manager | Susan Reynolds, Director of Operations |
| 9 | Consistent and efficient responses to inquiries. | Carolyn Martinez, Program Manager | Mary Gonzales, Financial Coordinator |
| 10 | Hire ePAR's should be processed at least 1 week prior to start date. | Carolyn Martinez, Program Manager | Mary Gonzales, Financial Coordinator |
| 11 | Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes. | Carolyn Martinez, Program Manager | Mary Gonzales, Financial Coordinator |

UH System Cinco Ranch H0697
Baseline Standards
FY 2015

| Description of Responsibility | | Responsible Person(s) (Name/Title) | |
|--------------------------------|--|---|--|
| | | Primary (Required) | Secondary (Optional) |
| CASH HANDLING | | | |
| 1 | Collecting cash, checks, etc. | Gloria Graham, Office Coordinator | Prabha Todai, Office Assistant 2 |
| 2 | Reconciling cash, checks, etc. to receipts. | Prabha Todai, Office Assistant 2 | Mary Gonzales, Financial Coordinator |
| 3 | Preparing deposits. | Gloria Graham, Office Coordinator | Prabha Todai, Office Assistant 2 |
| 4 | Preparing Journal Entries. | Prabha Todai, Office Assistant 2 | Mary Gonzales, Financial Coordinator |
| 5 | Verifying deposits posted correctly in the Finance System. | Mary Gonzales, Financial Coordinator | Carolyn Martinez, Program Manager |
| 6 | Adequacy of physical safeguards of cash receipts and equivalent. | 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 | Prabha Todai, Office Assistant 2 |
| 8 | Ensuring deposits are made timely. | Mary Gonzales, Financial Coordinator | Prabha Todai, Office Assistant 2 |
| 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 |
| PETTY CASH | | | |
| 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 |
| CONTRACT ADMINISTRATION | | | |
| 1 | Ensuring departmental personnel comply with contract administration policies/procedures. | Carolyn Martinez, Program Manager | Susan Reynolds, Director of Operations |
| PROPERTY MANAGEMENT | | | |
| 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 |
| DISCLOSURE FORMS | | | |
| 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 |

UH System Cinco Ranch H0697
Baseline Standards
FY 2015

| Description of Responsibility | | Responsible Person(s) (Name/Title) | |
|-------------------------------|---|--|--|
| | | Primary (Required) | Secondary (Optional) |
| 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 |