Sugar Land H0696 Baseline Standards FY 2017

| | | Responsible Person(s) (Name/Title) | | |
|-------|--|------------------------------------|-----------------------------------|--|
| | tion of Responsibility | Primary (Required) | Secondary (Optional) | |
| DEPAR | TMENTAL POLICIES & PROCEDURES / BASELINE | | | |
| STANE | DARDS | | | |
| 1 | Ensuring the Departmental Policy and Procedures manual is | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | current. | Business Administrator | Operations | |
| 2 | Updating the Baseline Standards Form. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |
| INAN | CIAL REPORTING - COST CENTER VERIFICATIONS | | | |
| 1 | Preparing cost center verifications. | Sylvia Hartley - Office | Gail Turner - Department Business | |
| | | Coordinator | Administrator | |
| 2 | Reviewing cost center verifications. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |
| 3 | Approving cost center verifications. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |
| 4 | Ensuring all cost centers are verified/approved on a timely | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | basis. | Business Administrator | Operations | |
| INAN | CIAL REPORTING - EXPENDITURE TRANSACTIONS | | | |
| 1 | Ensuring valid authorization of purchase documents. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |
| 2 | Ensuring the validity of travel and expense reimbursements. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |
| 3 | Ensuring that goods and services are received and that timely | Gail Turner - Department | Chi Nguyen - Director of Business | |
| - | payment is made. | Business Administrator | Operations | |
| 4 | Ensuring correct account coding on purchases documents. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |
| 5 | Primary contact for inquiries to expenditure transactions. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |
| AYRO | DLL / HUMAN RESOURCES | | | |
| 1 | Ensuring all bi-weekly reported time and leave are approved | Sylvia Hartley - Office | Gail Turner - Department Business | |
| _ | before the deadlines set by Payroll, so that the correct hours are | | Administrator | |
| | recorded and paid on each bi-weekly paycheck. | Coordinator | | |
| 2 | | Carlaria Hantley, Office | Coil Turner Department Desirace | |
| 2 | Ensuring all monthly leave is recorded and approved before the | | Gail Turner - Department Business | |
| 2 | deadlines set by Payroll. | Coordinator | Administrator | |
| 3 | Reconciling approved reported time and leave (bi-weekly | Sylvia Hartley - Office | Gail Turner - Department Business | |
| | employees) and ePARs (monthly employees) to the trial and | Coordinator | Administrator | |
| 4 | final payroll verification reports. | Carlesia Handlana OCC | C-1 T D | |
| 4 | Completing termination clearance procedures. | Sylvia Hartley - Office | Gail Turner - Department Business | |
| - | Promise to make to be make to be a second or the second of the second or | Coordinator | Administrator | |
| 5 | Ensuring terminated employees are no longer charged to | Sylvia Hartley - Office | Gail Turner - Department Business | |
| | departmental cost centers. | Coordinator | Administrator | |
| 6 | Maintaining departmental Personnel files. | Sylvia Hartley - Office | Gail Turner - Department Business | |
| 7 | | Coordinator | Administrator | |
| | Ensuring valid authorization of new hires. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations Discourse Chairman | |
| 9 | Ensuring valid authorization of changes in compensation rates. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |
| | Ensuring the accurate input of changes to the HR System. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |
| 10 | Consistent and efficient responses to inquiries. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | | Business Administrator | Operations | |

Submitted: 8/8/16 1 of 3

Sugar Land H0696 Baseline Standards FY 2017

| Inceri | 4' CD 1114 | Responsible Person(s) (Name/Title) | | |
|--------------------|---|--|---|--|
| | ption of Responsibility | Primary (Required) | Secondary (Optional) | |
| CASH | HANDLING | | | |
| 1 | Collecting cash, checks, etc. | Sylvia Hartley - Office | Angie Calvert-Jarmon - Office | |
| 1 | Concerning cash, checks, etc. | Coordinator | Coordinator | |
| 2 | Reconciling cash, checks, etc. to receipts. | Sylvia Hartley - Office | Angie Calvert-Jarmon - Office | |
| 2 | Reconcining cash, checks, etc. to receipts. | Coordinator | Coordinator | |
| 3 | Preparing deposits. | Sylvia Hartley - Office | Angie Calvert-Jarmon - Office | |
| 3 | repaining deposits. | Coordinator | Coordinator | |
| 4 | Preparing Journal Entries. | Sylvia Hartley - Office | Angie Calvert-Jarmon - Office | |
| 4 | Freparing Journal Entires. | Coordinator | Coordinator | |
| 5 | Verifying deposits posted correctly in the Finance System. | Sylvia Hartley - Office | Angie Calvert-Jarmon - Office | |
| | verifying deposits posted correctly in the I mance system. | Coordinator | Coordinator | |
| 6 | Adequacy of physical safeguards of cash receipts and | Gail Turner - Department | Chi Nguyen - Director of Business | |
| | equivalent. | Business Administrator | Operations | |
| 7 | Secure deposits via UHDPS to Student Financial Services. | NA | NA | |
| , | Secure deposits via OTIDI'S to Student I maneral Services. | 11/1 | | |
| 8 | Ensuring deposits are made timely. | Sylvia Hartley - Office | Angie Calvert-Jarmon - Office | |
| | | Coordinator | Coordinator | |
| 9 | Ensuring all employees who handle cash have completed Cash | Gail Turner - Department | | |
| | Security Procedures or Cash Deposit and Security Procedures | Business Administrator | Chi Nguyen - Director of Business | |
| | training. | | Operations | |
| 10 | Updating Cash Handling Procedures as needed. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| 10 | | Business Administrator | Operations | |
| 11 | Distribution of Cash Handling Procedures to employees who | Gail Turner - Department | Chi Nguyen - Director of Business | |
| •• | handle cash. | Business Administrator | Operations | |
| 12 | Consistent and efficient responses to inquiries. | Gail Turner - Department | Chi Nguyen - Director of Business | |
| 12 | Consistent and efficient responses to inquiries. | Business Administrator | Operations Director of Dusiness | |
| ETTY | / CASH | | | |
| 1 | Preparing petty cash disbursements. | NA | | |
| | repaining petty cash disoursements. | 141 | NA | |
| 2 | Ensuring petty cash disbursements are not for more than \$100. | NA | NA | |
| 3 | Ensuring petty cash disbursements are made for only | NA | NA | |
| 3 | authorized purposes. | 1771 | 1771 | |
| 4 | Approving petty cash disbursements. | NA | NA | |
| | | | | |
| 5 | Replenishing the petty cash fund timely. | NA | NA | |
| | | | NI A | |
| 6 | Ensuring the petty cash fund is balanced after each | NA | NA | |
| 6 | Ensuring the petty cash fund is balanced after each disbursement. | NA NA | NA NA | |
| | • • • | NA | INA | |
| CONT | disbursement. RACT ADMINISTRATION | | | |
| | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract | Gail Turner - Department | Chi Nguyen - Director of Business | |
| CONT 1 | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. | | Chi Nguyen - Director of Business Operations | |
| CONT 1 | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract | Gail Turner - Department | Chi Nguyen - Director of Business Operations John Mckee - Mgr, UH System Ct | |
| CONT 1 ROPI | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. ERTY MANAGEMENT | Gail Turner - Department Business Administrator | Chi Nguyen - Director of Business Operations | |
| CONT 1 | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. | Gail Turner - Department Business Administrator John Mckee - Mgr, UH System | Chi Nguyen - Director of Business Operations John Mckee - Mgr, UH System Ct | |
| CONT 1 PROPI | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. ERTY MANAGEMENT Performing the annual inventory. | Gail Turner - Department Business Administrator John Mckee - Mgr, UH System Ctr Tech Services. | Chi Nguyen - Director of Business Operations John Mckee - Mgr, UH System Ct | |
| CONT 1 PROPI | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. ERTY MANAGEMENT | Gail Turner - Department Business Administrator John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System | Chi Nguyen - Director of Business Operations John Mckee - Mgr, UH System Ct | |
| PROPI 1 2 | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. ERTY MANAGEMENT Performing the annual inventory. Ensuring the annual inventory was completed correctly. | Gail Turner - Department Business Administrator John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System Ctr Tech Services. | Chi Nguyen - Director of Business Operations John Mckee - Mgr, UH System Ct | |
| CONT 1 ROPI | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. ERTY MANAGEMENT Performing the annual inventory. | Gail Turner - Department Business Administrator John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System | Chi Nguyen - Director of Business Operations John Mckee - Mgr, UH System Ct | |
| PROPI 1 2 3 | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. ERTY MANAGEMENT Performing the annual inventory. Ensuring the annual inventory was completed correctly. Tagging equipment. | Gail Turner - Department Business Administrator John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System Ctr Tech Services. | Chi Nguyen - Director of Business Operations John Mckee - Mgr, UH System Ct Tech Services. | |
| 1 PROPP 1 2 | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. ERTY MANAGEMENT Performing the annual inventory. Ensuring the annual inventory was completed correctly. | Gail Turner - Department Business Administrator John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System | Chi Nguyen - Director of Business Operations John Mckee - Mgr, UH System Ct Tech Services. | |
| 1 PROPI 1 2 3 4 | disbursement. RACT ADMINISTRATION Ensuring departmental personnel comply with contract administration policies/procedures. ERTY MANAGEMENT Performing the annual inventory. Ensuring the annual inventory was completed correctly. Tagging equipment. | Gail Turner - Department Business Administrator John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System Ctr Tech Services. John Mckee - Mgr, UH System Ctr Tech Services. | Chi Nguyen - Director of Business Operations John Mckee - Mgr, UH System Ct Tech Services. | |

Submitted: 8/8/16 2 of 3

Sugar Land H0696 Baseline Standards FY 2017

| | | Responsible Person(s) (Name/Title) | | |
|-------------------------------|--|--|---|--|
| Description of Responsibility | | Primary (Required) | Secondary (Optional) | |
| 1 | Ensuring all employees with purchasing influence complete the | Chi Nguyen - Director of | Gail Turner - Department Business | |
| | annual Related Party disclosure statement online. | Business Operations | Administrator | |
| 2 | Ensuring all full time, benefits eligible, exempt faculty and | Chi Nguyen - Director of | Gail Turner - Department Business | |
| | staff complete the Consulting disclosure statement online. | Business Operations | Administrator | |
| 3 | Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research. | NA | NA | |
| ACCOU | UNTS 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 | |
| NEGAT | TVE BALANCES | | | |
| 1 | Ensuring that all fund groups for each Dept ID have positive fund equity at year-end. | Gail Turner - Department Business Administrator | Chi Nguyen - Director of Business Operations | |
| 2 | Ensuring that research expenditures are covered by funds from sponsors. | NA NA | NA | |
| DEPAR | TMENTAL COMPUTING | | | |
| 1 | Management of the departments' information technology resources. | Amit Patel - Mgr, Asst, User Srvc Support | John Mckee - Mgr, UH System Ctr Tech Services. | |
| 2 | Ensuring that critical data back up occurs. | Mark Roskey - Analyst, Systems 2 | John Mckee - Mgr, UH System Ctr Tech Services. | |
| 3 | Ensuring that procedures such as password controls are followed. | Mark Roskey - Analyst, Systems 2 | John Mckee - Mgr, UH System Ctr Tech Services. | |
| 4 | Reporting of suspected security violations. | Mark Roskey - Analyst, Systems 2 | John Mckee - Mgr, UH System Ctr Tech Services. | |

Submitted: 8/8/16 3 of 3