

Finance
Baseline Standards
FY 2014

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.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
2	Updating the Baseline Standards Form.	Irma Perez/Financial Coordinator II	Linda M. Garza, Director Business Services
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Irma Perez/Financial Coordinator II	Matthew Crouch, Dept. Business Administrator
2	Reviewing cost center verifications.	Mike Glisson/Controller	Linda M. Garza, Director Business Services
3	Approving cost center verifications.	Mike Glisson/Controller	Pat Sayles, Executive Director, Business Services
4	Ensuring all cost centers are verified/approved on a timely basis.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Mike Glisson/Controller	Matthew Crouch, Dept. Business Administrator
2	Ensuring the validity of travel and expense reimbursements.	Mike Glisson/Controller	Matthew Crouch, Dept. Business Administrator
3	Ensuring that goods and services are received and that timely payment is made.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
4	Ensuring correct account coding on purchases documents.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
5	Primary contact for inquiries to expenditure transactions.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Irma Perez/Financial Coordinator II	Nancy Palomo, Asst. Bus. Admnstr-Admin
2	Reconciling bi-weekly leave accruals to the HR System.	Irma Perez/Financial Coordinator II	Nancy Palomo, Asst. Bus. Admnstr-Admin
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Irma Perez/Financial Coordinator II	Nancy Palomo, Asst. Bus. Admnstr-Admin
4	Ensuring all monthly leave is recorded and approved in the HR System.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Irma Perez/Financial Coordinator II	Nancy Palomo, Asst. Bus. Admnstr-Admin
6	Completing termination clearance procedures.	Irma Perez/Financial Coordinator II	Nancy Palomo, Asst. Bus. Admnstr-Admin
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
8	Paycheck distribution.	Treasury	
9	Maintaining departmental Personnel files.	Irma Perez/Financial Coordinator II	Nancy Palomo, Asst. Bus. Admnstr-Admin
10	Ensuring valid authorization of new hires.	Irma Perez/Financial Coordinator II	Nancy Palomo, Asst. Bus. Admnstr-Admin
11	Ensuring valid authorization of changes in compensation rates.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
12	Ensuring the accurate input of changes to the HR System.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
13	Propriety of leave account classification on time records.	Irma Perez/Financial Coordinator II	Nancy Palomo, Asst. Bus. Admnstr-Admin
14	Consistent and efficient responses to inquiries.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
CASH HANDLING			

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1	Collecting cash, checks, etc.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
2	Reconciling cash, checks, etc. to receipts.	Irma Perez/Financial Coordinator II	Diane Sylvester, Financial Coord. 2
3	Preparing deposits.	Irma Perez/Financial Coordinator II	Diane Sylvester, Financial Coord. 2
4	Preparing Journal Entries.	Irma Perez/Financial Coordinator II	Diane Sylvester, Financial Coord. 2
5	Verifying deposits posted correctly in the Finance System.	Irma Perez/Financial Coordinator II	Matthew Crouch, Dept. Business Administrator
6	Adequacy of physical safeguards.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
7	Transporting deposits to Student Financial Services.	UH Police	n/a
8	Ensuring deposits are made timely.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Mike Glisson/Controller	Irma Perez/Financial Coordinator II
10	Updating Cash Handling Procedures as needed.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
11	Distribution of Cash Handling Procedures to employees who handle cash.	Mike Glisson/Controller	Irma Perez/Financial Coordinator II
12	Consistent and efficient responses to inquiries.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
PETTY CASH			
1	Preparing petty cash disbursements.	n/a	n/a
2	Ensuring petty cash disbursements are not for more than \$100.	n/a	n/a
3	Ensuring petty cash disbursements are made for only authorized purposes.	n/a	n/a
4	Approving petty cash disbursements.	n/a	n/a
5	Replenishing the petty cash fund timely.	n/a	n/a
6	Ensuring the petty cash fund is balanced after each disbursement.	n/a	n/a
LONG DISTANCE CHARGES			
1	Manager review of long distance charges for unusual activity.	n/a	n/a
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	n/a	n/a
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Mike Glisson/Controller	Linda M. Garza, Director Business Services
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
2	Ensuring the annual inventory was completed correctly.	Mike Glisson/Controller	Irma Perez/Financial Coordinator II
3	Tagging equipment.	Irma Perez/Financial Coordinator II	Matthew Crouch, Dept. Business Administrator
4	Approving requests for removal of equipment from campus.	Mike Glisson/Controller	Linda M. Garza, Director Business Services

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Mike Glisson/Controller	Matthew Crouch, Dept. Business Administrator
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Mike Glisson/Controller	Matthew Crouch, Dept. Business Administrator
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.		
ACCOUNTS RECEIVABLE			
1	Extending of credit.	n/a	
2	Billing.	n/a	
3	Collection.	n/a	
4	Recording.	n/a	
5	Monitoring credit extended.	n/a	
6	Approving write-offs.	n/a	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Mike Glisson/Controller	Pat Sayles, Executive Dir. Business Services; Linda M. Garza, Director Business Services
2	Ensuring that research expenditures are covered by funds from sponsors.	n/a	n/a
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Henry Pham/Microsystems Analyst	Catherine Chan/Director Financial Computing Systems
2	Ensuring that critical data back up occurs.	Henry Pham/Microsystems Analyst	Catherine Chan/Director Financial Computing Systems
3	Ensuring that procedures such as password controls are followed.	Henry Pham/Microsystems Analyst	Catherine Chan/Director Financial Computing Systems
4	Reporting of suspected security violations.	All Staff	
For Departments listed below			
ID	Dept Name		
H0156	FINANCE		
H0159	PROPERTY MANAGEMENT		
H0601	SURPLUS PROPERTY		
H0157	GENERAL ACCOUNTING		
H0286	CAMPUS ACCOUNTING SERVICES		
H0285	RESEARCH ACCOUNTING		
H0284	GENERAL ACCOUNTING		
H0164	PLANT ACCOUNTING		
H0160	ACCOUNTS PAYABLE		
H0163	FINANCIAL COMPUTING SYSTEMS		
H0165	TAX ACCOUNTING		