

**University Information Technology
FY2015 Baseline Standards**

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.	Georgeann Smith (Director, Business Services)	Staff uses Survival Guide
2	Updating the Baseline Standards Form.	Georgeann Smith (Director, Business Services)	Alice Tsai (Financial Manager)
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Alice Tsai (Financial Manager)	Inga Buyanjargal, Accountant 3
2	Reviewing cost center verifications.	Georgeann Smith (Director, Business Services)	Alice Tsai (Financial Manager)
3	Approving cost center verifications.	UIT Managers	Georgeann Smith (Director, Business Services)
4	Ensuring all cost centers are verified/approved on a timely basis.	Georgeann Smith (Director, Business Services)	Alice Tsai (Financial Manager)
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Sonia Morales (ADBA)	Rayna Brown (Financial Coordinator 2) Michelle Mendez (Financial Assistant 1)
2	Ensuring the validity of travel and expense reimbursements.	Le'Che Mayes (ADBA)	Tammy Talley (Business Asst 2)
3	Ensuring that goods and services are received and that timely payment is made.	Sonia Morales (ADBA) / Le'Che Mayes (ADBA)	Rayna Brown (Financial Coordinator 2) Michelle Mendez (Financial Assistant 1)
4	Ensuring correct account coding on purchases documents.	Sonia Morales (ADBA) / Le'Che Mayes (ADBA)	Alice Tsai (Financial Manager)
5	Primary contact for inquiries to expenditure transactions.	Sonia Morales (ADBA)	Rayna Brown (Financial Coordinator 2) Michelle Mendez (Financial Assistant 1)
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.	Kristin Fiorillo - HR/Payroll Coordinator 1	Victor Kalani (DBA)
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Rowena Castro (ADBA)	Victor Kalani (DBA)
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Kristin Fiorillo - HR/Payroll Coordinator 1	Victor Kalani (DBA)
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Kristin Fiorillo - HR/Payroll Coordinator 1	Victor Kalani (DBA)
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.	Rowena Castro (ADBA)	Victor Kalani (DBA)
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Rowena Castro (ADBA)	Victor Kalani (DBA)
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Georgeann Smith (Director, Business Services)	Victor Kalani (DBA)
8	Maintaining departmental personnel files.	Rowena Castro (ADBA)	Victor Kalani (DBA)
9	Consistent and efficient responses to inquiries.	Rowena Castro (ADBA)	Victor Kalani (DBA)
10	Hire ePAR's should be processed at least 1 week prior to start date.	Rowena Castro (ADBA)	Victor Kalani (DBA)
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Georgeann Smith (Director, Business Services)	Victor Kalani (DBA)
CASH HANDLING			
1	Collecting cash, checks, etc.	Amy Ma / Mai-Vy Williams / Alfonso Cervantes / Rafael Arroyo / Parisa Koochak (Service Desk Staff) / Rayna Brown (Financial Coordinator 2)	Leroy Mays / Ivey Davis / Brian Thomas / Jose Hernandez / (Service Desk Staff) / Michelle Mendez (Financial Asst 2)

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2	Reconciling cash, checks, etc. to receipts.	Amy Ma / Mai-Vy Williams (Service Desk Staff) / Rayna Brown (Financial Coordinator 2)	Ivy Davis / Parisa Koochak (Service Desk Staff) / Sonia Morales (ADBA)
3	Preparing deposits.	Amy Ma / Mai-Vy Williams (Service Desk Staff) / Rayna Brown (Financial Coordinator 2)	Ivy Davis / Parisa Koochak (Service Desk Staff) / Sonia Morales (ADBA) / Michelle Mendez (Financial Asst 2)
4	Preparing Journal Entries.	Amy Ma / Ivey Davis (Service Desk Staff) / Rayna Brown (Financial Coordinator 2)	Ivy Davis / Vy Le (Service Desk Staff) / Michelle Mendez (Financial Asst 2)
5	Verifying deposits posted correctly in the Finance System.	Le'Che Mayes (ADBA) & Sonia Morales (ADBA)	Alice Tsai (Financial Manager)
6	Adequacy of physical safeguards of cash receipts and equivalent.	Amy Ma / Haydee Rodriguez (Service Desk Staff) / Rayna Brown (Financial Coordinator 2)	Sonia Morales (ADBA)
7	Secure deposits via UHDPS to Student Financial Services.	UH Police Department	
8	Ensuring deposits are made timely.	Amy Ma / Mai-Vy Williams (Service Desk Staff) / Rayna Brown (Financial Coordinator 2)	Ivey Davis / Parisa Koochak (Service Desk Staff) Le'Che Mayes (ADBA)/ Sonia Morales (ADBA)
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Sonia Morales (ADBA)	Georgeann Smith (Director, Business Services)
10	Updating Cash Handling Procedures as needed.	Sonia Morales (ADBA)	Georgeann Smith (Director, Business Services)
11	Distribution of Cash Handling Procedures to employees who handle cash.	Sonia Morales (ADBA)	Georgeann Smith (Director, Business Services)
12	Consistent and efficient responses to inquiries.	Amy Ma / Mai-Vy Williams (Service Desk Staff) / Rayna Brown (Financial Coordinator 2)	Sonia Morales (ADBA)
PETTY CASH			
1	Preparing petty cash disbursements.	N/A	
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	
4	Approving petty cash disbursements.	N/A	
5	Replenishing the petty cash fund timely.	N/A	
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Sonia Morales (ADBA)	Georgeann Smith (Director, Business Services)
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	UIT Custodians	Le'Che Mayes (ADBA)
2	Ensuring the annual inventory was completed correctly.	UIT Custodians and Managers	Le'Che Mayes (ADBA)
3	Tagging equipment.	UIT Custodians & Designees	Le'Che Mayes (ADBA)
4	Approving requests for removal of equipment from campus.	UIT Managers	Le'Che Mayes (ADBA)
DISCLOSURE FORMS			

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Georgeann Smith (Director, Business Services)	Rowena Castro (ADBA)
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Georgeann Smith (Director, Business Services)	Rowena Castro (ADBA)
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Georgeann Smith (Director, Business Services)	Rowena Castro (ADBA)
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	
2	Billing.	Cindy Victorian (Financial Coordinator 2)	Le'Che Mayes (ADBA)
3	Collection.	Cindy Victorian (Financial Coordinator 2)	Le'Che Mayes (ADBA)
4	Recording.	Cindy Victorian (Financial Coordinator 2)	Le'Che Mayes (ADBA)
5	Monitoring credit extended.	N/A	
6	Approving write-offs.	Georgeann Smith (Director, Business Services)	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Georgeann Smith (Director, Business Services)	Alice Tsai (Financial Manager)
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.	UIT Managers & Dept Heads	
2	Ensuring that critical data back up occurs.	UIT Staff (for their desktops)	
3	Ensuring that procedures such as password controls are followed.	UIT Technical Administrators	
4	Reporting of suspected security violations.	UIT Staff	