

Controller's Office - H0156
Baseline Standards
FY 2016

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	Mike Glisson / Controller
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Irma Perez/Financial Coordinator II	Juanita Samuels, Dept Bus. Adminstr
2	Reviewing cost center verifications.	Mike Glisson/Controller	Linda M. Garza, Director Business Services
3	Approving cost center verifications.	Mike Glisson/Controller	Linda M. Garza, 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.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
2	Ensuring the validity of travel and expense reimbursements.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
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
6	Ensuring access and use of P-Cards and T-Cards are secure.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
7	Ensuring P-Card transactions are adequately documented and benefit the university.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
8	Ensuring T-Card transactions are adequately documented and benefit the university.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
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.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Irma Perez/Financial Coordinator II	Nancy Palomo/Dept Bus. Adminstr
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Irma Perez/Financial Coordinator II	Nancy Palomo/Dept Bus. Adminstr
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.	Irma Perez/Financial Coordinator II	Nancy Palomo/Dept Bus. Adminstr
6	Completing termination ePAR's within 24 hours of termination.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
7	Verifying that the eTermination Checklist is completed by all required departments no more than two weeks after termination.	Irma Perez/Financial Coordinator II	Supervisor of Terminated Employee
8	Ensuring terminated employees are no longer charged to departmental cost centers.	Irma Perez/Financial Coordinator II	Nancy Palomo/Dept Bus. Adminstr
9	Maintaining departmental personnel files.	Irma Perez/Financial Coordinator II	Nancy Palomo/Dept Bus. Adminstr
10	Consistent and efficient responses to inquiries.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
11	Hire ePAR's should be processed at least 1 week prior to start date.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
12	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Irma Perez/Financial Coordinator II	Nancy Palomo/Dept Bus. Adminstr

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CASH HANDLING			
1	Collecting cash, checks, etc.	Lydia Mansur/AP Assistant	Cassandra Lopez/AP Manager
2	Reconciling cash, checks, etc. to receipts.	Cassandra Lopez/AP Manager	Mike Glisson / Controller
3	Preparing deposits.	Cassandra Lopez/AP Manager	Ed Smith/Accountant 1
4	Preparing Journal Entries.	Cassandra Lopez/AP Manager	Ed Smith/Accountant 1
5	Verifying deposits posted correctly in the Finance System.	Irma Perez/Financial Coordinator II	Mike Glisson / Controller
6	Adequacy of physical safeguards of cash receipts and equivalent.	Cassandra Lopez/AP Manager	Lydia Mansur/AP Assistant
7	Secure deposits via UHDPS to Student Financial Services.	N/A (Use remote deposit)	
8	Ensuring deposits are made timely.	Cassandra Lopez/AP Manager	Ed Smith/Accountant 1
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Mike Glisson/Controller	Linda M. Garza, Director Business Services
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.	Cassandra Lopez/AP Manager	Mike Glisson / Controller
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	N/A	
14	Ensuring all access and use of credit card information is secure.	N/A	
PETTY CASH / CHANGE FUNDS			
1	Submitting Annual Reauthorization for Petty Cash/Change Funds.	N/A	N/A
2	Preparing petty cash disbursements.	N/A	N/A
3	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
4	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
5	Approving petty cash disbursements.	N/A	N/A
6	Replenishing the petty cash fund timely.	N/A	N/A
7	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
8	Ensuring the change fund is balanced daily, weekly or monthly.	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	Linda M. Garza, Director Business Services
3	Tagging equipment.	Irma Perez/Financial Coordinator II	Juanita Samuels, Dept Bus. Adminstr
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	Juanita Samuels, Dept Bus. Adminstr
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Mike Glisson/Controller	Juanita Samuels, Dept Bus. Adminstr
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	N/A	N/A
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Mike Glisson/Controller	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		
H0175	PURCHASING		
H0425	HUB PROGRAMS		
S0037	GENERAL ACCOUNTING		
S0601	SURPLUS PROPERTY		