

**University Information Technology - H0398  
FY2016 Baseline Standards**

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
<b>DEPARTMENTAL POLICIES &amp; PROCEDURES / BASELINE STANDARDS</b>			
1	Ensuring the Departmental Policy and Procedures manual is current.	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)	Staff uses Survival Guide
2	Updating the Baseline Standards Form.	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)	Alice Tsai (Financial Manager)
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Alice Tsai (Financial Manager)	Inga Buyanjargal (Accountant 3) / Ramyia Kurre (Accountant 2)
2	Reviewing cost center verifications.	Victor Kalani (DBA)	George Rea (DBA)
3	Approving cost center verifications.	UIT Managers	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)
4	Ensuring all cost centers are verified/approved on a timely basis.	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)	Alice Tsai (Financial Manager)
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Sonia Morales (ADBA)	Rayna Brown (ADBA) Michelle Mendez (Financial Assistant 2)
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 (ADBA) Michelle Mendez (Financial Assistant 2)
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.	Rayna Brown (ADBA)	Michelle Mendez (Financial Assistant 2) / Mario Jenkins (Financial Coordinator 1)
6	Ensuring access and use of P-Cards and T-Cards are secure.	Rayna Brown (ADBA)	Le'Che Mayes (ADBA)
7	Ensuring P-Card transactions are adequately documented and benefit the university.	Le'Che Mayes (ADBA)	Rayna Brown (ADBA)
8	Ensuring T-Card transactions are adequately documented and benefit the university.	Le'Che Mayes (ADBA)	Rayna Brown (ADBA)
<b>PAYROLL / HUMAN RESOURCES</b>			
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.	May Xiong - HR/Payroll Coordinator 1	Rowena Castro (ADBA)
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.	May Xiong - HR/Payroll Coordinator 1	Rowena Castro (ADBA)
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	May Xiong - HR/Payroll Coordinator 1	Rowena Castro (ADBA)
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.	Rowena Castro (ADBA)	Victor Kalani (DBA)
7	Verifying that the eTermination Checklist is completed by all required departments no more than two weeks after termination.	Victor Kalani (DBA)	Rowena Castro (ADBA)
8	Ensuring terminated employees are no longer charged to departmental cost centers.	Victor Kalani (DBA)	Rowena Castro (ADBA)
9	Maintaining departmental personnel files.	Rowena Castro (ADBA)	Victor Kalani (DBA)
10	Consistent and efficient responses to inquiries.	Rowena Castro (ADBA)	Victor Kalani (DBA)
11	Hire ePAR's should be processed at least 1 week prior to start date.	Rowena Castro (ADBA)	Victor Kalani (DBA)
12	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)	Victor Kalani (DBA)

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<b>CASH HANDLING</b>			
1	Collecting cash, checks, etc.	Amy Ma / Mai-Vy Williams / Alfonso Cervantes / Rafael Arroyo / Parisa Koochak / Michelle Robinson / Tak Kim (Service Desk Staff) / Michelle Mendez (Financial Asst 2) / Mario Jenkins (Financial Coordinator 1)	Leroy Mays / Ivey Davis / Brian Thomas / Jose Hernandez / (Service Desk Staff) / Rayna Brown (ADBA)
2	Reconciling cash, checks, etc. to receipts.	Amy Ma / Mai-Vy Williams (Service Desk Staff) / Rayna Brown (ADBA)	Ivey Davis / Parisa Koochak (Service Desk Staff) / Michelle Mendez (Financial Asst 2)
3	Preparing deposits.	Amy Ma / Mai-Vy Williams (Service Desk Staff) / Rayna Brown (ADBA)	Ivey Davis / Parisa Koochak (Service Desk Staff) / Michelle Mendez (Financial Asst 2)
4	Preparing Journal Entries.	Amy Ma (Service Desk Staff) / Michelle Mendez (Financial Asst 2)	Ivey Davis / Vy Le (Service Desk Staff) / Rayna Brown (ADBA)
5	Verifying deposits posted correctly in the Finance System.	Alice Tsai (Financial Manager)	Inga Buyanjargal (Accountant 3) / Ramya Kurre (Accountant 2)
6	Adequacy of physical safeguards of cash receipts and equivalent.	Amy Ma / Parisa Koochack / Ivey Davis (Service Desk Staff) / Rayna Brown (ADBA)	Michelle Mendez (Financial Asst 2)
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 (ADBA)	Ivey Davis / Parisa Koochak (Service Desk Staff) / Sonia Morales (ADBA) / Le'Che Mayes (ADBA)
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Rayna Brown (ADBA)	Sonia Morales (ADBA)
10	Updating Cash Handling Procedures as needed.	Rayna Brown (ADBA)	Sonia Morales (ADBA)
11	Distribution of Cash Handling Procedures to employees who handle cash.	Rayna Brown (ADBA)	Sonia Morales (ADBA)
12	Consistent and efficient responses to inquiries.	Amy Ma / Mai-Vy Williams / Rafael Arroyo / (Service Desk Staff) / Rayna Brown (ADBA)	Michelle Mendez (Financial Asst 2)
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)	Sonia Morales (ADBA)
14	Ensuring all access and use of credit card information is secure.	Sonia Morales (ADBA)	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)
<b>PETTY CASH / CHANGE FUNDS</b>			
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
<b>CONTRACT ADMINISTRATION</b>			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Sonia Morales (ADBA)	George Rea (DBA)
<b>PROPERTY MANAGEMENT</b>			
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)

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<b>DISCLOSURE FORMS</b>			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)	Rowena Castro (ADBA)
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Georgeann Smith (Interim Dir, Facilities Services / Dir, 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 (Interim Dir, Facilities Services / Dir, Business Services)	Rowena Castro (ADBA)
<b>ACCOUNTS RECEIVABLE</b>			
1	Extending of credit.	N/A	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	N/A
6	Approving write-offs.	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)	
<b>NEGATIVE BALANCES</b>			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Georgeann Smith (Interim Dir, Facilities Services / Dir, Business Services)	Alice Tsai (Financial Manager)
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	N/A
<b>DEPARTMENTAL COMPUTING</b>			
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	