

Finance - AVP Finance/Controller PH H0663
Baseline Standards
FY 2018

	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 / Department Business Administrator	Karin Livingston / Controller
2	Updating the Baseline Standards Form.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Irma Perez / Department Business Administrator	Juanita Samuels / Department Business Administrator
2	Reviewing cost center verifications.	Karin Livingston / Controller	Linda Garza / Director Business Services
3	Approving cost center verifications.	Karin Livingston / Controller	Linda Garza / Director Business Services
4	Ensuring all cost centers are verified/approved on a timely basis.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
2	Ensuring the validity of travel and expense reimbursements.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
3	Ensuring that goods and services are received and that timely payment is made.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
4	Ensuring correct account coding on purchases documents.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
5	Primary contact for inquiries to expenditure transactions.	Irma Perez / Department Business Administrator	Karin Livingston / 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 / Department Business Administrator	Karin Livingston / Controller
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Irma Perez / Department Business Administrator	Linda Garza / Director Business Services
4	Completing termination clearance procedures.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Irma Perez / Department Business Administrator	Linda Garza / Director Business Services
6	Maintaining departmental Personnel files.	Irma Perez / Department Business Administrator	Linda Garza / Director Business Services
7	Ensuring valid authorization of new hires.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
8	Ensuring valid authorization of changes in compensation rates.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
9	Ensuring the accurate input of changes to the HR System.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
10	Consistent and efficient responses to inquiries.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
CASH HANDLING			

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1 Collecting cash, checks, etc.	Teresa McComb / AP Analyst	Cassandra Lopez / AP Manager
2 Reconciling cash, checks, etc. to receipts.	Cassandra Lopez / AP Manager	Karin Livingston / 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 / Department Business Administrator	Karin Livingston / Controller
6 Adequacy of physical safeguards of cash receipts and equivalent.	Cassandra Lopez / AP Manager	Teresa McComb / AP Analyst
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.	Karin Livingston / Controller	Linda Garza / Director Business Services
10 Updating Cash Handling Procedures as needed.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
11 Distribution of Cash Handling Procedures to employees who handle cash.	Karin Livingston / Controller	Irma Perez / Department Business Administrator
12 Consistent and efficient responses to inquiries.	Cassandra Lopez / AP Manager	Karin Livingston / 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
CONTRACT ADMINISTRATION		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Mike Glisson / Controller	Linda Garza / Director Business Services
PROPERTY MANAGEMENT		
1 Performing the annual inventory.	Spencer Cook / Vendor ID Supervisor	Mike Glisson / Controller
2 Ensuring the annual inventory was completed correctly.	Mike Glisson / Controller	Linda Garza / Director Business Services
3 Tagging equipment.	Spencer Cook / Vendor ID Supervisor	Juanita Samuels / Department Business Administrator
4 Approving requests for removal of equipment from campus.	Mike Glisson / Controller	Linda 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 / Department Business Administrator
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Mike Glisson / Controller	Juanita Samuels / Department Business Administrator
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 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	
ID	Department	ID	Department
H0663	Controller Placeholder	H0284	General Accounting
H0159	Property Management	H0160	Accounts Payable
H0601	Surplus Property	H0163	Financial Computing Systems
H0159	General Accounting	H0165	Tax Accounting
H0286	Campus Accounting Services	H0175	Purchasing
H0285	Research Accounting	H0425	HUB Programs