

Department Name
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.	Mary Juarez	Roger Boltz
2	Updating the Baseline Standards Form.	Mary Juarez	Roger Boltz
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez
2	Reviewing cost center verifications.	cost center managers	cost center managers
3	Approving cost center verifications.	cost center managers	cost center managers
4	Ensuring all cost centers are verified/approved on a timely basis.	Hanh Nguyen	Mary Juarez
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra, Mary	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez
2	Ensuring the validity of travel and expense reimbursements.	Mary Guzman	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez
3	Ensuring that goods and services are received and that timely payment is made.	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra, Mary	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra, Mary
4	Ensuring correct account coding on purchases documents.	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra, Mary	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra, Mary
5	Primary contact for inquiries to expenditure transactions.	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra, Mary	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra, Mary
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Sawsan Shatleh	Mary Juarez or designee
2	Reconciling bi-weekly leave accruals to the HR System.	Sawsan Shatleh	Mary Juarez or designee
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Sawsan Shatleh	Mary Juarez or designee
4	Ensuring all monthly leave is recorded and approved in the HR System.	Sawsan Shatleh	Mary Juarez or designee
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Sawsan Shatleh	Mary Juarez or designee
6	Completing termination clearance procedures.	Sawsan Shatleh	Mary Juarez or designee
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Sawsan Shatleh	Mary Juarez or designee
8	Paycheck distribution.	Sawsan Shatleh	Mary Juarez or designee
9	Maintaining departmental Personnel files.	Sawsan Shatleh	Mary Juarez or designee
10	Ensuring valid authorization of new hires.	Sawsan Shatleh	Mary Juarez or designee
11	Ensuring valid authorization of changes in compensation rates.	Sawsan Shatleh	Mary Juarez or designee
12	Ensuring the accurate input of changes to the HR System.	Sawsan Shatleh	Mary Juarez or designee
13	Propriety of leave account classification on time records.	Sawsan Shatleh	Mary Juarez or designee
14	Consistent and efficient responses to inquiries.	Sawsan Shatleh	Mary Juarez or designee
CASH HANDLING			
1	Collecting cash, checks, etc.	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman

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2	Reconciling cash, checks, etc. to receipts.	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman
3	Preparing deposits.	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman
4	Preparing Journal Entries.	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman
5	Verifying deposits posted correctly in the Finance System.	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman
6	Adequacy of physical safeguards.	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman
7	Transporting deposits to Student Financial Services.	UH Police	UH Police
8	Ensuring deposits are made timely.	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Guzman	Mary Juarez
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Mary Juarez	Mary Juarez or designee
10	Updating Cash Handling Procedures as needed.	Mary Juarez	Mary Juarez or designee
11	Distribution of Cash Handling Procedures to employees who handle cash.	Mary Juarez	Mary Juarez or designee
12	Consistent and efficient responses to inquiries.	Mary Juarez and Staff	Mary Juarez or designee
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.	Roger Boltz	Mary Juarez or designee
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Mary Martinez	Marc Eaton
2	Ensuring the annual inventory was completed correctly.	Mary Martinez	Marc Eaton
3	Tagging equipment.	Mary Martinez	Marc Eaton
4	Approving requests for removal of equipment from campus.	Dean or designee	Dean or designee
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Yearly automated training	Yearly automated training
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Yearly automated training	Yearly automated training

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3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Laura Frishman or designee	Laura Frishman or designee
ACCOUNTS RECEIVABLE			
1	Extending of credit.	AlteraMed-outsorce company	AlteraMed-outsorce company
2	Billing.	AlteraMed-outsorce company	AlteraMed-outsorce company
3	Collection.	AlteraMed-outsorce company	AlteraMed-outsorce company
4	Recording.	AlteraMed-outsorce company	AlteraMed-outsorce company
5	Monitoring credit extended.	AlteraMed-outsorce company	AlteraMed-outsorce company
6	Approving write-offs.	Dr. Nick Holdeman/Service Directors	Dr. Nick Holdeman/Service Directors
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Mary Juarez	Roger Boltz
2	Ensuring that research expenditures are covered by funds from sponsors.	Jolisa Johnston	Mary Juarez or Roger Boltz
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Darrin Nguyen & IT Dept	Darrin Nguyen & IT Dept
2	Ensuring that critical data back up occurs.	Darrin Nguyen & IT Dept	Darrin Nguyen & IT Dept
3	Ensuring that procedures such as password controls are followed.	Darrin Nguyen & IT Dept	Darrin Nguyen & IT Dept
4	Reporting of suspected security violations.	Darrin Nguyen & IT Dept	Darrin Nguyen & IT Dept

Mary Juarez
8/5/13