

Department Name
Baseline Standards
FY 2015

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 Johnson, Hanh Nguyen, Mary Juarez	Barbara Valles, Jolisa Johnson, Hanh Nguyen, Mary Juarez
2	Reviewing cost center verifications.	Cost center managers	cost center manager
3	Approving cost center verifications.	Cost center managers	cost center manager
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 Guzman	Barbara Valles, Jolisa Johnson, Hanh Nguyen, Mary Juarez
2	Ensuring the validity of travel and expense reimbursements.	Mary Guzman, Hanh Nguyen	Barbara Valles, Jolisa Johnson, 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 Guzman	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra & Mary Guzman
4	Ensuring correct account coding on purchases documents.	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra & Mary Guzman	Deborah Hawkey, Jeremiah Gallegos, Lupe Ybarra & Mary Guzman
5	Primary contact for inquiries to expenditure transactions.		
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.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
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.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
8	Maintaining departmental personnel files.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
9	Consistent and efficient responses to inquiries.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
10	Hire ePAR's should be processed at least 1 week prior to start date.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Sawsan Shatleh, Hanh Nguyen	Mary Juarez or designee

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CASH HANDLING			
1	Collecting cash, checks, etc.	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra
2	Reconciling cash, checks, etc. to receipts.	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra
3	Preparing deposits.	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra
4	Preparing Journal Entries.	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra
5	Verifying deposits posted correctly in the Finance System.	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra
6	Adequacy of physical safeguards of cash receipts and equivalent.	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra
7	Secure deposits via UHDPS to Student Financial Services.	UH Police	UH Police
8	Ensuring deposits are made timely.	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra	Barbara Valles, Hanh Nguyen, Mary Guzman, Lupe Ybarra
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 and cash handling units	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
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Roger Boltz	Roger Boltz 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
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

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ACCOUNTS RECEIVABLE			
1	Extending of credit.	Alteramed-outsourced company	Alteramed-outsourced company
2	Billing.	Alteramed-outsourced company	Alteramed-outsourced company
3	Collection.	Alteramed-outsourced company	Alteramed-outsourced company
4	Recording.	Alteramed-outsourced company	Alteramed-outsourced company
5	Monitoring credit extended.	Alteramed-outsourced company	Alteramed-outsourced company
6	Approving write-offs.	Dr. Nick Holdeman, service directors or dean	Dr. Nick Holdeman, service directors or dean
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	Laura Frishman/Roger Boltz
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Darrin Nguyen & IT Staff	Darrin Nguyen & IT Staff
2	Ensuring that critical data back up occurs.	Darrin Nguyen & IT Staff	Darrin Nguyen & IT Staff
3	Ensuring that procedures such as password controls are followed.	Darrin Nguyen & IT Staff	Darrin Nguyen & IT Staff
4	Reporting of suspected security violations.	Darrin Nguyen & IT Staff	Darrin Nguyen & IT Staff

Mary Juarez
8/8/14