

Houston Coastal Center  
Baseline Standards  
FY 2014

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.	Lilia Canas, DBA	
2	Updating the Baseline Standards Form.	Lilia Canas, DBA	
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Chau Phan, Financial Analyst	
2	Reviewing cost center verifications.	Dr. Steven Pennings, Director	
3	Approving cost center verifications.	Dr. Steven Pennings, Director	
4	Ensuring all cost centers are verified/approved on a timely basis.	Dr. Steven Pennings, Director	Chau Phan, Financial Analyst
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Yonia Pulido, Financial Coordinator	Quang Hau, Financial Coordinator
2	Ensuring the validity of travel and expense reimbursements.	Yonia Pulido, Financial Coordinator	Quang Hau, Financial Coordinator
3	Ensuring that goods and services are received and that timely payment is made.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
4	Ensuring correct account coding on purchases documents.	Chau Phan, Financial Analyst	Lilia Canas, DBA
5	Primary contact for inquiries to expenditure transactions.	Chau Phan, Financial Analyst	Lilia Canas, DBA
<b>PAYROLL / HUMAN RESOURCES</b>			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Mallory Travis, Administrative Coordinator	
2	Reconciling bi-weekly leave accruals to the HR System.	Mallory Travis, Administrative Coordinator	
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Mallory Travis, Administrative Coordinator	
4	Ensuring all monthly leave is recorded and approved in the HR System.	Chau Phan, Financial Analyst	Lilia Canas, DBA
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Mallory Travis, Administrative Coordinator	
6	Completing termination clearance procedures.	Mallory Travis, Administrative Coordinator	
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Mallory Travis, Administrative Coordinator	
8	Paycheck distribution.	N/A	N/A
9	Maintaining departmental Personnel files.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
10	Ensuring valid authorization of new hires.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
11	Ensuring valid authorization of changes in compensation rates.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
12	Ensuring the accurate input of changes to the HR System.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
13	Propriety of leave account classification on time records.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
14	Consistent and efficient responses to inquiries.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
<b>CASH HANDLING</b>			

Houston Coastal Center  
Baseline Standards  
FY 2014

Description of Responsibility	Responsible Person(s) (Name/Title)	
	Primary (Required)	Secondary (Optional)
1 Collecting cash, checks, etc.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
2 Reconciling cash, checks, etc. to receipts.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
3 Preparing deposits.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
4 Preparing Journal Entries.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
5 Verifying deposits posted correctly in the Finance System.	Chau Phan, Financial Analyst	
6 Adequacy of physical safeguards.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
7 Transporting deposits to Student Financial Services.	Police (UHPD)	
8 Ensuring deposits are made timely.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Lilia Canas, DBA	
10 Updating Cash Handling Procedures as needed.	Lilia Canas, DBA	
11 Distribution of Cash Handling Procedures to employees who handle cash.	Lilia Canas, DBA	
12 Consistent and efficient responses to inquiries.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
<b>PETTY CASH</b>		
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
<b>LONG DISTANCE CHARGES</b>		
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
<b>CONTRACT ADMINISTRATION</b>		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Lilia Canas, DBA	Chau Phan, Financial Analyst
<b>PROPERTY MANAGEMENT</b>		
1 Performing the annual inventory.	Timothy Becker, Grounds Spvr.	Dr. Steven Pennings, Director
2 Ensuring the annual inventory was completed correctly.	Timothy Becker, Grounds Spvr.	Dr. Steven Pennings, Director
3 Tagging equipment.	Timothy Becker, Grounds Spvr.	Dr. Steven Pennings, Director
4 Approving requests for removal of equipment from campus.	Timothy Becker, Grounds Spvr.	Dr. Steven Pennings, Director
<b>DISCLOSURE FORMS</b>		

Houston Coastal Center  
Baseline Standards  
FY 2014

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Lilia Canas, DBA	Chau Phan, Financial Analyst
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Lilia Canas, DBA	Chau Phan, Financial Analyst
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Lilia Canas, DBA	Chau Phan, Financial Analyst
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.	Lilia Canas, DBA	Chau Phan, Financial Analyst
2	Ensuring that research expenditures are covered by funds from sponsors.	Lilia Canas, DBA	Chau Phan, Financial Analyst
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Hoang Hoang, Systems Administrator	
2	Ensuring that critical data back up occurs.	Hoang Hoang, Systems Administrator	
3	Ensuring that procedures such as password controls are followed.	Hoang Hoang, Systems Administrator	
4	Reporting of suspected security violations.	Hoang Hoang, Systems Administrator	