

Houston Coastal Center
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.	Lilia Canas, DBA	Darcy Rieff, Asst DBA
2	Updating the Baseline Standards Form.	Lilia Canas, DBA	Darcy Rieff, Asst DBA
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
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.	Lilia Canas, DBA	Chau Phan, Financial Analyst
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
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.	Lilia Canas, DBA	Chau Phan, Financial Analyst
5	Primary contact for inquiries to expenditure transactions.	Chau Phan, Financial Analyst	Lilia Canas, DBA
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.	Mallory Travis, Administrative Coordinator	Darcy Rieff, Asst DBA
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Mallory Travis, Administrative Coordinator	Darcy Rieff, Asst DBA
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Mallory Travis, Administrative Coordinator	Darcy Rieff, Asst DBA
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
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.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Mallory Travis, Administrative Coordinator	Darcy Rieff, Asst DBA
8	Maintaining departmental personnel files.	Mallory Travis, Administrative Coordinator	Darcy Rieff, Asst DBA
9	Consistent and efficient responses to inquiries.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
10	Hire ePAR's should be processed at least 1 week prior to start date.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Lilia Canas, DBA	Darcy Rieff, Asst DBA

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CASH HANDLING			
1	Collecting cash, checks, etc.	Yonia Pulido, Financial Coordinator	Quang Hau, Financial Coordinator
2	Reconciling cash, checks, etc. to receipts.	Yonia Pulido, Financial Coordinator	Quang Hau, 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 of cash receipts and equivalent.	Police (UHPD)	
7	Secure deposits via UHDPS to Student Financial Services.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
8	Ensuring deposits are made timely.	Lilia Canas, DBA	
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Lilia Canas, DBA	Darcy Rieff, Asst DBA
10	Updating Cash Handling Procedures as needed.	Lilia Canas, DBA	Darcy Rieff, Asst DBA
11	Distribution of Cash Handling Procedures to employees who handle cash.	Lilia Canas, DBA	Darcy Rieff, Asst DBA
12	Consistent and efficient responses to inquiries.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
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.	Lilia Canas, DBA	Chau Phan, Financial Analyst
PROPERTY MANAGEMENT			
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
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Darcy Rieff, Asst DBA	Lilia Canas, DBA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Darcy Rieff, Asst DBA	Lilia Canas, DBA
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Darcy Rieff, Asst DBA	Lilia Canas, DBA

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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	