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.	Zagui Paredes, Director Business Operations	Jose Martinez, Department Business Administrator
2	Updating the Baseline Standards Form.	Zagui Paredes, Director Business Operations	Jose Martinez, Department Business Administrator
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Student Worker	Sandra Bazan, Financial Coordinator
2	Reviewing cost center verifications.	Sandra Bazan, Financial Coord	Zagui Paredes, Director Business Operations
3	Approving cost center verifications.	Zagui Paredes, Director Business Operations	Fred Lewallen, Associate Dean
4	Ensuring all cost centers are verified/approved on a timely basis.	Zagui Paredes, Director Business Operations	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Zagui Paredes, Director Business Operations	Jose Martinez, Department Business Administrator
2	Ensuring the validity of travel and expense reimbursements.	Zagui Paredes, Director Business Operations	Jose Martinez, Department Business Administrator
3	Ensuring that goods and services are received and that timely payment is made.	Sandra Bazan, Financial Coord; Brittany Weiss,Sec 2; Elizabeth Wingfield, Admin Assist; ASC Office Coord, Deidra Perry, Office Coord	Sandra Bazan, Financial Coord; Jose Martinez, Department Business Administrator
4	Ensuring correct account coding on purchases documents.	Sandra Bazan, Financial Coord; Brittany Weiss,Sec 2; Elizabeth Wingfield, Admin Assist; ASC Office Coord, Deidra Perry, Office Coord	Sandra Bazan, Financial Coord; Jose Martinez, Department Business Administrator
5	Primary contact for inquiries to expenditure transactions.	Zagui Paredes, Director Business Operations	Sandra Bazan, Financial Coord; Jose Martinez, Department Business Administrator
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
2	Reconciling bi-weekly leave accruals to the HR System.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
4	Ensuring all monthly leave is recorded and approved in the HR System.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
6	Completing termination clearance procedures.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
8	Paycheck distribution.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
9	Maintaining departmental Personnel files.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
10	Ensuring valid authorization of new hires.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
11	Ensuring valid authorization of changes in compensation rates.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
12	Ensuring the accurate input of changes to the HR System.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
13	Propriety of leave account classification on time records.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
14	Consistent and efficient responses to inquiries.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
CASH HANDLING			
1	Collecting cash, checks, etc.	Sandra Bazan, Financial Coord; Brittany Weiss,Sec 2; Elizabeth Wingfield, Admin Assist; ASC Office Coord	Elizabeth Wingfield, Admin Asst
2	Reconciling cash, checks, etc. to receipts.	Zagui Paredes, Director Business Operations	Sandra Bazan, Financial Coord
3	Preparing deposits.	Sandra Bazan, Financial Coord; Brittany Weiss,Sec 2; Elizabeth Wingfield, Admin Assist; ASC Office Coord	Sandra Bazan, Financial Coord
4	Preparing Journal Entries.	Sandra Bazan, Financial Coord; Brittany Weiss,Sec 2; Elizabeth Wingfield, Admin Assist; ASC Office Coord	Sandra Bazan, Financial Coord
5	Verifying deposits posted correctly in the Finance System.	Zagui Paredes, Director Business Operations	Jose Martinez, Department Business Administrator
6	Adequacy of physical safeguards.	Zagui Paredes, Director Business Operations	Jose Martinez, Department Business Administrator
7	Transporting deposits to Student Financial Services.	UH Police Department	
8	Ensuring deposits are made timely.	Sandra Bazan, Financial Coord; Brittany Weiss,Sec 2; Elizabeth Wingfield, Admin Assist; ASC Office Coord	Jose Martinez, Department Business Administrator
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Zagui Paredes, Director Business Operations	Jose Martinez, Department Business Administrator
10	Updating Cash Handling Procedures as needed.	Zagui Paredes, Director Business Operations	Sandra Bazan, Financial Coord
11	Distribution of Cash Handling Procedures to employees who handle cash.	Zagui Paredes, Director Business Operations	
12	Consistent and efficient responses to inquiries.	Sandra Bazan, Finanacial Coordinator	Zagui Paredes, Director Business Operations
PETTY CASH			
1	Preparing petty cash disbursements.	N/A	
2	Ensuring petty cash disbursements are not for more than $100.	N/A	
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	
4	Approving petty cash disbursements.	N/A	
5	Replenishing the petty cash fund timely.	N/A	
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	
LONG DISTANCE / CELL PHONE CHARGES			

Submitted:

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
1	Forwarding employees their long distance and cell phone charge reports for verification.	N/A	
2	Ensuring employees review their long distance and/or cell phone charge reports.	N/A	
3	Ensuring personal calls are reimbursed within 10 days from the billing date.	N/A	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Zagui Paredes, Director Business Operations	Fred Lewallen, Associate Dean
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Deidra Perry, Office Coord	Zagui Paredes, Director Business Operations
2	Ensuring the annual inventory was completed correctly.	Deidra Perry, Office Coord	Zagui Paredes, Director Business Operations
3	Tagging equipment.	Deidra Perry, Office Coord	COT IT Staff
4	Approving requests for removal of equipment from campus.	Fred Lewallen, Associate Dean	Zagui Paredes, Director Business Operations
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	
2	Billing.	N/A	
3	Collection.	N/A	
4	Recording.	N/A	
5	Monitoring credit extended.	N/A	
6	Approving write-offs.	N/A	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Zagui Paredes, Director Business Operations	
2	Ensuring that research expenditures are covered by funds from sponsors.	Zagui Paredes, Director Business Operations	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Tom Jones, Mgr Info Systems	Fred Lewallen, Associate Dean
2	Ensuring that critical data back up occurs.	Tom Jones, Mgr Info Systems	Fred Lewallen, Associate Dean
3	Ensuring that procedures such as password controls are followed.	Tom Jones, Mgr Info Systems	Fred Lewallen, Associate Dean
4	Reporting of suspected security violations.	Tom Jones, Mgr Info Systems	Fred Lewallen, Associate Dean

Engineering Technology (H0139)
College of Technology
Baseline Standards
FY2014

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.	NA - College Business Manual is maintained through the Dean's Office	Heidar Malki, Dept Chair
2 Updating the Baseline Standards Form.	Eduardo Cortes Department Business Administrator	Heidar Malki, Dept Chair
FINANCIAL REPORTING - COST CENTER VERIFICATIONS		
1 Preparing cost center verifications.	Student Worker	Eduardo Cortes, DBA
2 Reviewing cost center verifications.	Eduardo Cortes, DBA	Heidar Malki, Dept Chair
3 Approving cost center verifications.	Dpt Chr or PI's	Heidar Malki, Dept Chair
4 Ensuring all cost centers are verified/approved on a timely basis.	Eduardo Cortes, DBA	Heidar Malki, Dept Chair
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS		
1 Ensuring valid authorization of purchase documents.	Eduardo Cortes, DBA	Joana Tan, Financial Coord
2 Ensuring the validity of travel and expense reimbursements.	Eduardo Cortes, DBA	Joana Tan, Financial Coord
3 Ensuring that goods and services are received and that timely payment is made.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
4 Ensuring correct account coding on purchases documents.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
5 Primary contact for inquiries to expenditure transactions.	Joana Tan, Financial Coord	Eduardo Cortes, DBA
PAYROLL / HUMAN RESOURCES		
1 Reconciling approved bi-weekly leave requests to time and effort reports.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
2 Reconciling bi-weekly leave accruals to the HR System.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
3 Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
4 Ensuring all monthly leave is recorded and approved in the HR System.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
5 Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
6 Completing termination clearance procedures.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
7 Ensuring terminated employees are no longer charged to departmental cost centers.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
8 Paycheck distribution.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
9 Maintaining departmental Personnel files.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
10 Ensuring valid authorization of new hires.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator
11 Ensuring valid authorization of changes in compensation rates.	Roneshia Shaw, Office Coord	Eduardo Cortes Department Business Administrator

12	Ensuring the accurate input of changes to the HR System.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
13	Propriety of leave account classification on time records.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
14	Consistent and efficient responses to inquiries.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
CASH HANDLING			
1	Collecting cash, checks, etc.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
2	Reconciling cash, checks, etc. to receipts.	Eduardo Cortes, DBA	Heidar Malki, Dept Chair
3	Preparing deposits.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
4	Preparing Journal Entries.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
5	Verifying deposits posted correctly in the Finance System.	Eduardo Cortes, DBA	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord
6	Adequacy of physical safeguards.	Eduardo Cortes, DBA	Zagui Paredes, Director Business Operations
7	Transporting deposits to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Eduardo Cortes, DBA	Zagui Paredes, Director Business Operations
10	Updating Cash Handling Procedures as needed.	Zagui Paredes, Director Business Operations	Eduardo Cortes, DBA
11	Distribution of Cash Handling Procedures to employees who handle cash.	Zagui Paredes, Director Business Operations	Eduardo Cortes, DBA
12	Consistent and efficient responses to inquiries.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
PETTY CASH			`
1	Preparing petty cash disbursements.	NA	
2	Ensuring petty cash disbursements are not for more than $100.	NA	
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	
4	Approving petty cash disbursements.	NA	
5	Replenishing the petty cash fund timely.	NA	
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	
LONG DISTANCE / CELL PHONE CHARGES			
1	Forwarding employees their long distance and cell phone charge reports for verification.	NA	
2	Ensuring employees review their long distance and/or cell phone charge reports.	NA	
3	Ensuring personal calls are reimbursed within 10 days from the billing date.	NA	NA

CONTRACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Eduardo Cortes, DBA	Heidar Malki, Dept Chair
PROPERTY MANAGEMENT		
1	Performing the annual inventory.	Deidra Perry, Office Coord	Zagui Paredes, Director of Business Operations
2	Ensuring the annual inventory was completed correctly.	Deidra Perry, Office Coord	Zagui Paredes, Director of Business Operations
3	Tagging equipment.	Deidra Perry, Office Coord	COT IT Staff
4	Approving requests for removal of equipment from campus.	Fred Lewallen, Assoc, Dean	Zagui Paredes, Director of Business Operations
DISCLOSURE FORMS		
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
ACCOUNTS RECEIVABLE		
1	Extending of credit.	NA	
2	Billing.	NA	
3	Collection.	NA	
4	Recording.	NA	
5	Monitoring credit extended.	NA	
6	Approving write-offs.	NA	
NEGATIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Eduardo Cortes, DBA	Heidar Malki, Dept Chair
2	Ensuring that research expenditures are covered by funds from sponsors.	Eduardo Cortes, DBA	Heidar Malki, Dept Chair
DEPARTMENTAL COMPUTING		
1	Management of the departments' information technology resources.	Tom Jones, Mgr IT	Fred Lewallen, Assoc, Dean
2	Ensuring that critical data back up occurs.	Tom Jones, Mgr IT	Fred Lewallen, Assoc, Dean
3	Ensuring that procedures such as password controls are followed.	Tom Jones, Mgr IT	Fred Lewallen, Assoc, Dean
4	Reporting of suspected security violations.	Tom Jones, Mgr IT	Fred Lewallen, Assoc, Dean

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.	NA - College Business Manual is maintained through the Dean's Office	
2	Updating the Baseline Standards Form.	Eduardo Cortes Department Business Administrator	Marcella Norwood, Chair
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Student worker	Kelly Le, Financial Coordinator
2	Reviewing cost center verifications.	Eduardo Cortes Department Business Administrator	Kelly Le, Financial Coordinator
3	Approving cost center verifications.	Dpt Chr or PI's	Marcella Norwood, Chair
4	Ensuring all cost centers are verified/approved on a timely basis.	Eduardo Cortes Department Business Administrator	Kelly Le, Financial Coordinator
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Eduardo Cortes Department Business Administrator	Kelly Le, Financial Coordinator; Shirin Richards, Office Coordinator
2	Ensuring the validity of travel and expense reimbursements.	Eduardo Cortes Department Business Administrator	Kelly Le, Financial Coordinator; Shirin Richards, Office Coordinator
3	Ensuring that goods and services are received and that timely payment is made.	Kelly Le, Financial Coordinator; Shirin Richards, Office Coordinator	Eduardo Cortes Department Business Administrator
4	Ensuring correct account coding on purchases documents.	Kelly Le, Financial Coordinator; Shirin Richards, Office Coordinator	Eduardo Cortes Department Business Administrator
5	Primary contact for inquiries to expenditure transactions.	Kelly Le, Financial Coordinator; Shirin Richards, Office Coordinator	Eduardo Cortes Department Business Administrator
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
2	Reconciling bi-weekly leave accruals to the HR System.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
4	Ensuring all monthly leave is recorded and approved in the HR System.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
6	Completing termination clearance procedures.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
8	Paycheck distribution.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
9	Maintaining departmental Personnel files.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator

10	Ensuring valid authorization of new hires.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
11	Ensuring valid authorization of changes in compensation rates.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
12	Ensuring the accurate input of changes to the HR System.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
13	Propriety of leave account classification on time records.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
14	Consistent and efficient responses to inquiries.	Shirin Richards, Office Coord	Eduardo Cortes Department Business Administrator
CASH HANDLING			
1	Collecting cash, checks, etc.	Kelly Le, Financial Coordinator; Shirin Richards, Office	Eduardo Cortes Department Business Administrator
2	Reconciling cash, checks, etc. to receipts.	Eduardo Cortes Department Business Administrator	Marcella Norwood, Chair
3	Preparing deposits.	Kelly Le, Financial Coordinator; Shirin Richards, Office	Eduardo Cortes Department Business Administrator
4	Preparing Journal Entries.	Kelly Le, Financial Coordinator; Shirin Richards, Office	Eduardo Cortes Department Business Administrator
5	Verifying deposits posted correctly in the Finance System.	Eduardo Cortes Department Business Administrator	Marcella Norwood, Chair
6	Adequacy of physical safeguards.	Kelly Le, Financial Coordinator; Shirin Richards, Office	Eduardo Cortes Department Business Administrator
7	Transporting deposits to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Kelly Le, Financial Coordinator; Shirin Richards, Office	Eduardo Cortes Department Business Administrator
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Eduardo Cortes Department Business Administrator	Zagui Paredes, Director Business Operations
10	Updating Cash Handling Procedures as needed.	Zagui Paredes, Director Business Operations	Eduardo Cortes Department Business Administrator
11	Distribution of Cash Handling Procedures to employees who handle cash.	Zagui Paredes, Director Business Operations	Eduardo Cortes Department Business Administrator
12	Consistent and efficient responses to inquiries.	Kelly Le, Financial Coordinator; Shirin Richards, Office	Eduardo Cortes Department Business Administrator
PETTY CASH			
1	Preparing petty cash disbursements.	NA	
2	Ensuring petty cash disbursements are not for more than $100.	NA	
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	
4	Approving petty cash disbursements.	NA	
5	Replenishing the petty cash fund timely.	NA	
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	
LONG DISTANCE / CELL PHONE CHARGES			
1	Forwarding employees their long distance and cell phone charge reports for verification.	NA	
2	Ensuring employees review their long distance and/or cell phone charge reports.	NA	

3	Ensuring personal calls are reimbursed within 10 days from the billing date.	NA	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Eduardo Cortes, DBA	Marcella Norwood, Chair
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Deidra Perry, Office Coord	Zagui Paredes, Director of Business Operations
2	Ensuring the annual inventory was completed correctly.	Deidra Perry, Office Coord	Zagui Paredes, Director of Business Operations
3	Tagging equipment.	Deidra Perry, Office Coord	COT IT Staff
4	Approving requests for removal of equipment from campus.	Fred Lewallen, Assoc Dean	Zagui Paredes, Director of Business Operations
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	
2	Billing.	NA	
3	Collection.	NA	
4	Recording.	NA	
5	Monitoring credit extended.	NA	
6	Approving write-offs.	NA	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Eduardo Cortes, DBA	Marcella Norwood, Chair
2	Ensuring that research expenditures are covered by funds from sponsors.	Eduardo Cortes, DBA	Marcella Norwood, Chair
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Tom Jones, Mgr Ino Systems	Fred Lewallen, Associate Dean
2	Ensuring that critical data back up occurs.	Tom Jones, Mgr Ino Systems	Fred Lewallen, Associate Dean
3	Ensuring that procedures such as password controls are followed.	Tom Jones, Mgr Ino Systems	Fred Lewallen, Associate Dean
4	Reporting of suspected security violations.	Tom Jones, Mgr Ino Systems	Fred Lewallen, Associate Dean

Information & Logistics Technology

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.	NA - College Business Manual is maintained through the Dean's Office	
2 Updating the Baseline Standards Form.	Jose Martinez, Department Business Administrator	Jerry Evans, Department Chair
FINANCIAL REPORTING - COST CENTER VERIFICATIONS		
1 Preparing cost center verifications.	Student Worker	
2 Reviewing cost center verifications.	Jose Martinez, Department Business Administrator	Elizabeth Reilly, Financial Coord
3 Approving cost center verifications.	Jerry Evans, Department Chair or PI's	Jerry Evans, Department Chair
4 Ensuring all cost centers are verified/approved on a timely basis.	Jose Martinez, Department Business Administrator	Jerry Evans, Department Chair
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS		
1 Ensuring valid authorization of purchase documents.	Jose Martinez, Department Business Administrator	Elizabeth Reilly, Financial Coord; May Lew, Office Coord
2 Ensuring the validity of travel and expense reimbursements.	Jose Martinez, Department Business Administrator	Elizabeth Reilly, Financial Coord; May Lew, Office Coord
3 Ensuring that goods and services are received and that timely payment is made.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
4 Ensuring correct account coding on purchases documents.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
5 Primary contact for inquiries to expenditure transactions.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
PAYROLL / HUMAN RESOURCES		
1 Reconciling approved bi-weekly leave requests to time and effort reports.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
2 Reconciling bi-weekly leave accruals to the HR System.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
3 Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
4 Ensuring all monthly leave is recorded and approved in the HR System.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
5 Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
6 Completing termination clearance procedures.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
7 Ensuring terminated employees are no longer charged to departmental cost centers.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
8 Paycheck distribution.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
9 Maintaining departmental Personnel files.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
10 Ensuring valid authorization of new hires.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
11 Ensuring valid authorization of changes in compensation rates.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator

12	Ensuring the accurate input of changes to the HR System.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
13	Propriety of leave account classification on time records.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
14	Consistent and efficient responses to inquiries.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord	Jose Martinez, Department Business Administrator
CASH HANDLING			
1	Collecting cash, checks, etc.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord, Shantavia Settles, Program Coordinator	Jose Martinez, Department Business Administrator
2	Reconciling cash, checks, etc. to receipts.	Jose Martinez, Department Business Administrator	Jerry Evans, Department Chair
3	Preparing deposits.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord, Shantavia Settles, Program Coordinator	Jose Martinez, Department Business Administrator
4	Preparing Journal Entries.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord, Shantavia Settles, Program Coordinator	Jose Martinez, Department Business Administrator
5	Verifying deposits posted correctly in the Finance System.	Jose Martinez, Department Business Administrator	Elizabeth Reilly, Financial Coord; May Lew, Office Coord, Shantavia Settles, Program Coordinator
6	Adequacy of physical safeguards.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
7	Transporting deposits to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord, Shantavia Settles, Program Coordinator	Jose Martinez, Department Business Administrator
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Jose Martinez, Department Business Administrator	Zagui Paredes, Director Business Operations
10	Updating Cash Handling Procedures as needed.	Zagui Paredes, Director Business Operations	Jose Martinez, Department Business Administrator
11	Distribution of Cash Handling Procedures to employees who handle cash.	Zagui Paredes, Director Business Operations	Jose Martinez, Department Business Administrator
12	Consistent and efficient responses to inquiries.	Elizabeth Reilly, Financial Coord; May Lew, Office Coord, Shantavia Settles, Program Coordinator	Jose Martinez, Department Business Administrator
PETTY CASH			
1	Preparing petty cash disbursements.	N/A	
2	Ensuring petty cash disbursements are not for more than $100.	N/A	
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	
4	Approving petty cash disbursements.	N/A	
5	Replenishing the petty cash fund timely.	N/A	
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	
LONG DISTANCE / CELL PHONE CHARGES			
1	Forwarding employees their long distance and cell phone charge reports for verification.	N/A	

Information and Logistics Technology (H0137)
College of Technology
Baseline Standards
FY2014

2	Ensuring employees review their long distance and/or cell phone charge reports.	N/A	
3	Ensuring personal calls are reimbursed within 10 days from the billing date.	N/A	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Jose Martinez, Department Business Administrator	Jerry Evans, Department Chair
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Deidra Perry, Office Coord	Zagui Paredes, Director of Business Operations
2	Ensuring the annual inventory was completed correctly.	Deidra Perry, Office Coord	Zagui Paredes, Director of Business Operations
3	Tagging equipment.	Deidra Perry, Office Coord	COT IT Staff
4	Approving requests for removal of equipment from campus.	Fred Lewallen, Assoc, Dean	Zagui Paredes, Director of Business Operations
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	
2	Billing.	N/A	
3	Collection.	N/A	
4	Recording.	N/A	
5	Monitoring credit extended.	N/A	
6	Approving write-offs.	N/A	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Jose Martinez, Department Business Administrator	Jerry Evans, Department Chair
2	Ensuring that research expenditures are covered by funds from sponsors.	Jose Martinez, Department Business Administrator	Jerry Evans, Department Chair
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Tom Jones, Manager Information Systems	Fred Lewallen, Assoc, Dean
2	Ensuring that critical data back up occurs.	Tom Jones, Manager Information Systems	Fred Lewallen, Assoc, Dean
3	Ensuring that procedures such as password controls are followed.	Tom Jones, Manager Information Systems	Fred Lewallen, Assoc, Dean
4	Reporting of suspected security violations.	Tom Jones, Manager Information Systems	Fred Lewallen, Assoc, Dean

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.	NA - College Business Manual is maintained through the Dean's Office	Ann Pham , Regional Director
2	Updating the Baseline Standards Form.	Eduardo Cortes, DBA	Ann Pham , Regional Director
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Student Worker	Eduardo Cortes, DBA
2	Reviewing cost center verifications.	Eduardo Cortes, DBA	Ann Pham , Regional Director
3	Approving cost center verifications.	Director or PI's	Ann Pham , Regional Director
4	Ensuring all cost centers are verified/approved on a timely basis.	Eduardo Cortes, DBA	Ann Pham , Regional Director
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Eduardo Cortes, DBA	Joana Tan, Financial Coordinator II
2	Ensuring the validity of travel and expense reimbursements.	Eduardo Cortes, DBA	Joana Tan, Financial Coordinator II
3	Ensuring that goods and services are received and that timely payment is made.	Joana Tan, Financial Coordinator II	Eduardo Cortes, DBA
4	Ensuring correct account coding on purchases documents.	Joana Tan, Financial Coordinator II	Eduardo Cortes, DBA
5	Primary contact for inquiries to expenditure transactions.	Joana Tan, Financial Coordinator II	Eduardo Cortes, DBA
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
2	Reconciling bi-weekly leave accruals to the HR System.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
4	Ensuring all monthly leave is recorded and approved in the HR System.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
6	Completing termination clearance procedures.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
8	Paycheck distribution.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
9	Maintaining departmental Personnel files.	Roneshia Shaw, Office Coord	Ann Pham , Regional Director
10	Ensuring valid authorization of new hires.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
11	Ensuring valid authorization of changes in compensation rates.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
12	Ensuring the accurate input of changes to the HR System.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
13	Propriety of leave account classification on time records.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA

14	Consistent and efficient responses to inquiries.	Roneshia Shaw, Office Coord	Ann Pham , Regional Director
CASH HANDLING			
1	Collecting cash, checks, etc.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Ann Pham , Regional Director
2	Reconciling cash, checks, etc. to receipts.	Eduardo Cortes, DBA	Ann Pham , Regional Director
3	Preparing deposits.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Ann Pham , Regional Director
4	Preparing Journal Entries.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
5	Verifying deposits posted correctly in the Finance System.	Eduardo Cortes, DBA	Ann Pham , Regional Director
6	Adequacy of physical safeguards.	Eduardo Cortes, DBA	Zagui Paredes, Director Business Operations
7	Transporting deposits to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Joana Tan, Financial Coordinator II	Eduardo Cortes, DBA
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Eduardo Cortes, DBA	Zagui Paredes, Director Business Operations
10	Updating Cash Handling Procedures as needed.	Zagui Paredes, Director Business Operations	Eduardo Cortes, DBA
11	Distribution of Cash Handling Procedures to employees who handle cash.	Zagui Paredes, Director Business Operations	Eduardo Cortes, DBA
12	Consistent and efficient responses to inquiries.	Joana Tan, Financial Coord; Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
PETTY CASH			
1	Preparing petty cash disbursements.	NA	
2	Ensuring petty cash disbursements are not for more than $100.	NA	
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	
4	Approving petty cash disbursements.	NA	
5	Replenishing the petty cash fund timely.	NA	
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	
LONG DISTANCE / CELL PHONE CHARGES			
1	Forwarding employees their long distance and cell phone charge reports for verification.	NA	
2	Ensuring employees review their long distance and/or cell phone charge reports.	NA	
3	Ensuring personal calls are reimbursed within 10 days from the billing date.	NA	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Eduardo Cortes, DBA	Ann Pham , Regional Director
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Deidra Perry, Office Coord	Zagui Paredes, Director Business Operations

2	Ensuring the annual inventory was completed correctly.	Deidra Perry, Office Coord	Zagui Paredes, Director Business Operations
3	Tagging equipment.	Deidra Perry, Office Coord	COT IT Staff
4	Approving requests for removal of equipment from campus.	Fred Lewallen, Associate Dean	Zagui Paredes, Director Business Operations
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Amy Jones, Research Administrator	Zagui Paredes, Director Business Operations
ACCOUNTS RECEIVABLE			
1	Extending of credit.	Ann Pham , Regional Director	Zagui Paredes, Director Business Operations
2	Billing.	Joana Tan, Financial Coordinator II	Ann Pham , Regional Director
3	Collection.	Ann Pham , Regional Director	Eduardo Cortes, DBA
4	Recording.	Joana Tan, Financial Coordinator II	Ann Pham , Regional Director
5	Monitoring credit extended.	Ann Pham , Regional Director	Zagui Paredes, Director Business Operations
6	Approving write-offs.	Ann Pham , Regional Director	Zagui Paredes, Director Business Operations
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Eduardo Cortes, DBA	Ann Pham , Regional Director
2	Ensuring that research expenditures are covered by funds from sponsors.	Eduardo Cortes, DBA	Ann Pham , Regional Director
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Tom Jones, Mgr IT	Fred Lewallen, Assoc, Dean
2	Ensuring that critical data back up occurs.	Tom Jones, Mgr IT	Fred Lewallen, Assoc, Dean
3	Ensuring that procedures such as password controls are followed.	Tom Jones, Mgr IT	Fred Lewallen, Assoc, Dean
4	Reporting of suspected security violations.	Tom Jones, Mgr IT	Fred Lewallen, Assoc, Dean