College of Technology TMAC
Baseline Standards
FY 2015

		Responsible Person(s) (Name/Title)	
Description of Responsibility		**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	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	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.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Roneshia Shaw, Office Coord	Eduardo Cortes, 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	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	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	Maintaining departmental personnel files.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
9	Consistent and efficient responses to inquiries.	Roneshia Shaw, Office Coord	Ann Pham , Regional Director
10	Hire ePAR's should be processed at least 1 week prior to start date.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Roneshia Shaw, Office Coord	Eduardo Cortes, DBA

	Description of Responsibility	Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
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 of cash receipts and equivalent.	Eduardo Cortes, DBA	Zagui Paredes, Director Business Operations
7	Secure deposits via UHDPS 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.	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	
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.	Nancy Sanger, Office Coordinator	Zagui Paredes, Director Business Operations
2	Ensuring the annual inventory was completed correctly.	Nancy Sanger, Office Coordinator	Zagui Paredes, Director Business Operations
3	Tagging equipment.	Nancy Sanger, Office Coordinator	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

	Description of Responsibility	Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
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

Submitted: