## Ctr for Info Security Res Edu - H0554 Baseline Standards FY 2017

		Responsible Person(s) (Name/Title)	
Descrip	otion of Responsibility	Primary (Required)	Secondary (Optional)
	RTMENTAL POLICIES & PROCEDURES / BASELINE		
STANI	DARDS		
1	Ensuring the Departmental Policy and Procedures manual is	NA - College Business Manual is	
	current.	maintained through the Dean's	
2	Updating the Baseline Standards Form.	Jose Martinez, Department	
	- F	Business Administrator	William Conklin, PI (Associate Professor)
FINAN	CIAL REPORTING - COST CENTER VERIFICATIONS	Business / Kimmstutei	,
1	Preparing cost center verifications.		Jose Martinez, Department Business
		Student Worker	Administrator
2	Reviewing cost center verifications.	Jose Martinez, Department	
_		Business Administrator	Elizabeth Reilly, Financial Coord
3	Approving cost center verifications.	William Conklin, PI (Associate	
	Tipped ing cost center (emiculous)	Professor) or PI's	William Conklin, PI (Associate Professor)
4	Ensuring all cost centers are verified/approved on a timely	Jose Martinez, Department	,
·	basis.	Business Administrator	William Conklin, PI (Associate Professor)
FINAN	CIAL REPORTING - EXPENDITURE TRANSACTIONS		
1117111	CHERENORIES BALLADITORE TRANSPORTIONS		
1	Ensuring valid authorization of purchase documents.	Jose Martinez, Department	Elizabeth Reilly, Financial Coord; TBD, Office
	Ensuring valid authorization of parenase documents.	Business Administrator	Coord
2	Ensuring the validity of travel and expense reimbursements.	Jose Martinez, Department	Elizabeth Reilly, Financial Coord; TBD, Office
2	Ensuring the validity of traver and expense reimoursements.	Business Administrator	Coord
3	Ensuring that goods and services are received and that timely	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
3	payment is made.	Mayra Gonzalez, Office Coord	Administrator
4	Ensuring correct account coding on purchases documents.	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
+	Ensuring correct account coding on purchases documents.	Mayra Gonzalez, Office Coord	Administrator
5	Primary contact for inquiries to expenditure transactions.	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
3	Timary contact for inquiries to expenditure transactions.	Mayra Gonzalez, Office Coord	Administrator
DAVDO	L DLL / HUMAN RESOURCES	Mayra Golizalez, Office Coord	Administrator
IAIK	DEL/ HUMAN RESOURCES		
1	Ensuring all bi-weekly reported time and leave are approved		
1	before the deadlines set by Payroll, so that the correct hours are	Elizabeth Reilly, Financial Coord;	I M C D C D
		Mayra Gonzalez, Office Coord	Jose Martinez, Department Business
	recorded and paid on each bi-weekly paycheck.		Administrator
2	Ensuring all monthly leave is recorded and approved before the	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
_	deadlines set by Payroll.	Mayra Gonzalez, Office Coord	Administrator
3	Reconciling approved reported time and leave (bi-weekly	Elizabeth Reilly, Financial Coord;	Land Martines Department (D. )
	employees) and ePARs (monthly employees) to the trial and	Mayra Gonzalez, Office Coord	Jose Martinez, Department Business
	final payroll verification reports.	•	Administrator
4	Completing termination clearance procedures.	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
		Mayra Gonzalez, Office Coord	Administrator
5	Ensuring terminated employees are no longer charged to	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
	departmental cost centers.	Mayra Gonzalez, Office Coord	Administrator
6	Maintaining departmental Personnel files.	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
		Mayra Gonzalez, Office Coord	Administrator
7	Ensuring valid authorization of new hires.		Jose Martinez, Department Business
		Mayra Gonzalez, Office Coord	Administrator
8	Ensuring valid authorization of changes in compensation rates.	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
		Mayra Gonzalez, Office Coord	Administrator
9	Ensuring the accurate input of changes to the HR System.	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
		Mayra Gonzalez, Office Coord	Administrator
10	Consistent and efficient responses to inquiries.	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
		Mayra Gonzalez, Office Coord	Administrator

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CASH I	HANDLING		
1	Collecting each shoots ato	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
1	Collecting cash, checks, etc.		*
	D 21 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Mayra Gonzalez, Office Coord,	Administrator
2	Reconciling cash, checks, etc. to receipts.	Jose Martinez, Department	William Cauldin DI (Accessing Durfaces)
	D 1 1 1	Business Administrator	William Conklin, PI (Associate Professor)
3	Preparing deposits.	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
	D 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Mayra Gonzalez, Office Coord, Elizabeth Reilly, Financial Coord;	Administrator  Jose Martinez, Department Business
4	Preparing Journal Entries.	Mayra Gonzalez, Office Coord,	*
-	Verifying deposits posted correctly in the Finance System.	Jose Martinez, Department	Administrator Elizabeth Reilly, Financial Coord; TBD, Office
5	vernying deposits posted correctly in the rinance system.	Business Administrator	Coord, Shantavia Settles, Program Coordinator
	A decrease of abreviagl cofe arounds of each accounts and	Jose Martinez, Department	
6	Adequacy of physical safeguards of cash receipts and	Business Administrator	David McMullen, Director Business Operations
7	equivalent. Secure deposits via UHDPS to Student Financial Services.		
7	Secure deposits via UHDPS to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
O	Ensuring deposits are made timery.	Mayra Gonzalez, Office Coord,	Administrator
9	Ensuring all employees who handle cash have completed Cash	Mayra Gonzalez, Office Coord,	David McMullen, Director Business Operations
,	Security Procedures or Cash Deposit and Security Procedures	Jose Martinez, Department	David Medianen, Director Business Operations
	training.	Business Administrator	
10	Updating Cash Handling Procedures as needed.	David McMullen, Director	Jose Martinez, Department Business
10	epodeing cash framiding frocedures as needed.	Business Operations	Administrator
11	Distribution of Cash Handling Procedures to employees who	David McMullen, Director	Jose Martinez, Department Business
11		· · · · · · · · · · · · · · · · · · ·	Administrator
12	handle cash.	Business Operations Elizabeth Reilly, Financial Coord;	Jose Martinez, Department Business
12	Consistent and efficient responses to inquiries.	Mayra Gonzalez, Office Coord,	Administrator
FTTY	CASH	Mayra Gonzalez, Office Coord,	Administrator
LIII	Cristi		
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	N/A	
4	purposes. Approving petty cash disbursements.	N/A	
4		IV/A	
5	Replenishing the petty cash fund timely.	N/A	
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	
ONTR	ACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract	Jose Martinez, Department	
	administration policies/procedures.	Business Administrator	William Conklin, PI (Associate Professor)
ROPE	RTY MANAGEMENT		
		m r m n	D :114.14 II
1	Performing the annual inventory.	Tom Jones, IT Director	David McMullen, Director Business Operation
2	Ensuring the annual inventory was completed correctly.	Tom Jones, IT Director	David McMullen, Director Business Operation
3	Tagging equipment.	Tom Jones, IT Director	COT IT Staff
4	Approving requests for removal of equipment from campus.	Heidar Malki, Associate Dean	David McMullen, Director Business Operations
NECT (	OSUBE FORMS		
NOCLO	OSURE FORMS		
1	Ensuring all employees with purchasing influence complete the	Sarah Scott, Research	
	annual Related Party disclosure statement online.	Administrator	David McMullen, Director Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff	Sarah Scott, Research	, a control and
-	complete the Consulting disclosure statement online.	Administrator	David McMullen, Director Business Operation
		Sarah Scott, Research	
3	Ensuring that all Principal and Co-Principal Investigators	i Saran Scott, Research	
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for	1	

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Description of Responsibility		Primary (Required)	Secondary (Optional)
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.	Jose Martinez, Department Business Administrator	David McMullen, Director Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	Jose Martinez, Department Business Administrator	David McMullen, Director Business Operations
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Tom Jones, IT Director	Heidar Malki, Assoc, Dean
2	Ensuring that critical data back up occurs.	Tom Jones, IT Director	Heidar Malki, Assoc, Dean
3	Ensuring that procedures such as password controls are followed.	Tom Jones, IT Director	Heidar Malki, Assoc, Dean
4	Reporting of suspected security violations.	Tom Jones, IT Director	Heidar Malki, Assoc, Dean