Budget Office
Baseline Standards
FY2013

	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.	Karen James, DBA	Margie Hattenbach, Exec. Director
2	Updating the Baseline Standards Form.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin.
	FINANCIAL REPORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.	Karen James, DBA	
2	Reviewing cost center verifications.	Jennie De Los Reyes, Asst Bus Admin	
3	Approving cost center verifications.	Margie Hattenbach, Exec. Director	
4	Ensuring all cost centers are verified/approved on a timely basis.	Karen James, DBA	Margie Hattenbach, Exec. Director
	FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS		
1	Ensuring valid authorization of purchase documents.	Karen James, DBA	Margie Hattenbach, Exec. Director
2	Ensuring the validity of travel and expense reimbursements.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
3	Ensuring that goods and services are received and that timely payment is made.	Karen James, DBA	Margie Hattenbach, Exec. Director
4	Ensuring correct account coding on purchases documents.	Jennie De Los Reyes, Asst Bus Admin	Linda Garza, Dir. Bus Ops
5	Primary contact for inquiries to expenditure transactions.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
	PAYROLL / HUMAN RESOURCES		
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Karen James, DBA	Nancy Palomo, Asst Bus Admin
2	Reconciling bi-weekly leave accruals to the HR System.	Karen James, DBA	
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Karen James, DBA	
4	Ensuring all monthly leave is recorded and approved in the HR System.	Karen James, DBA	Margie Hattenbach, Exec. Director
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Karen James, DBA	Margie Hattenbach, Exec. Director
6	Completing termination clearance procedures.	Karen James, DBA	Nancy Palomo, Asst Bus Admin
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Karen James, DBA	Margie Hattenbach, Exec. Director
8	Paycheck distribution.	Treasury	
9	Maintaining departmental Personnel files.	Karen James, DBA	
10	Ensuring valid authorization of new hires.	Margie Hattenbach, Exec. Director	
11	Ensuring valid authorization of changes in compensation rates.	Margie Hattenbach, Exec. Director	
12	Ensuring the accurate input of changes to the HR System.	Karen James, DBA	
13	Propriety of leave account classification on time records.	Karen James, DBA	
14	Consistent and efficient responses to inquiries.	Karen James, DBA	Margie Hattenbach, Exec. Director
	CASH HANDLING		

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		Primary (Required)	Secondary (Optional)
1	Collecting cash, checks, etc.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
2	Reconciling cash, checks, etc. to receipts.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
3	Preparing deposits.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
4	Preparing Journal Entries.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
5	Verifying deposits posted correctly in the Finance System.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
6	Adequacy of physical safeguards.	All staff	
7	Transporting deposits to Student Financial Services.	UH Police (DPS)	
8	Ensuring deposits are made timely.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
10	Updating Cash Handling Procedures as needed.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
11	Distribution of Cash Handling Procedures to employees who handle cash.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
12	Consistent and efficient responses to inquiries.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
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.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
2	Ensuring employees review their long distance and/or cell phone charge reports.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
3	Ensuring personal calls are reimbursed within 10 days from the billing date.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Jennie De Los Reyes, Asst Bus Admin	Luisa Gallegos, Financial Coord. 2
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Karen James, DBA	Margie Hattenbach, Exec. Director
2	Ensuring the annual inventory was completed correctly.	Karen James, DBA	Margie Hattenbach, Exec. Director
3	Tagging equipment.	Karen James, DBA	Margie Hattenbach, Exec. Director
4	Approving requests for removal of equipment from campus.	Margie Hattenbach, Exec. Director	

Submitted:

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Karen James, DBA	Margie Hattenbach, Exec. Director
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Karen James, DBA	Margie Hattenbach, Exec. Director
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	N/A	
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.	Karen James, DBA	Jennie De Los Reyes, Asst Bus Admin
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Ed Jones, User Services Spec 3; Patrick McNeil, User Services Spec 3	UIT
2	Ensuring that critical data back up occurs.	Ed Jones, User Services Spec 3; Patrick McNeil, User Services	UIT
3	Ensuring that procedures such as password controls are followed.	Ed Jones, User Services Spec 3; Patrick McNeil, User Services	UIT
4	Reporting of suspected security violations.	All Staff	