

Department of Finance
Baseline Standards
FY 2013

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

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1	Collecting cash, checks, etc.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
2	Reconciling cash, checks, etc. to receipts.	Irma Perez/Financial Coordinator II	Diane Sylvester, Financial Coordinator 2
3	Preparing deposits.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
4	Preparing Journal Entries.	Irma Perez/Financial Coordinator II	Diane Sylvester, Financial Coordinator 2
5	Verifying deposits posted correctly in the Finance System.	Irma Perez/Financial Coordinator II	Jennie De Los Reyes, Asst Bus Admin
6	Adequacy of physical safeguards.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
7	Transporting deposits to Student Financial Services.	UH Police Department	N/A
8	Ensuring deposits are made timely.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Mike Glisson/Controller	Irma Perez/Financial Coordinator II
10	Updating Cash Handling Procedures as needed.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
11	Distribution of Cash Handling Procedures to employees who handle cash.	Mike Glisson/Controller	Irma Perez/Financial Coordinator II
12	Consistent and efficient responses to inquiries.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
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 CHARGES			
1	Manager review of long distance charges for unusual activity.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Mike Glisson/Controller	Linda Garza/Director Business Services
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Irma Perez/Financial Coordinator II	Mike Glisson/Controller
2	Ensuring the annual inventory was completed correctly.	Mike Glisson/Controller	Irma Perez/Financial Coordinator II
3	Tagging equipment.	Irma Perez/Financial Coordinator II	Jennie De Los Reyes, Asst Bus Admin
4	Approving requests for removal of equipment from campus.	Mike Glisson/Controller	Linda Garza/Director Business Services
DISCLOSURE FORMS			

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Mike Glisson/Controller	Irma Perez/Financial Coordinator II
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Mike Glisson/Controller	Irma Perez/Financial Coordinator II
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.	Mike Glisson/Controller	Jennie De Los Reyes, Asst Bus Admin; Irma Perez, Financial Coordinator 2
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	N/A
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Henry Pham/Microsystems Analyst	Catherine Chan/Director Financial Computing Systems
2	Ensuring that critical data back up occurs.	Henry Pham/Microsystems Analyst	Catherine Chan/Director Financial Computing Systems
3	Ensuring that procedures such as password controls are followed.	Henry Pham/Microsystems Analyst	Catherine Chan/Director Financial Computing Systems
4	Reporting of suspected security violations.	All staff	