

University Information Technology FY2013 Baseline Standards

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.	Staff uses Survival Guide, Alice Tsai (Financial Analyst 2 / Interim Financial Manager)	
2	Updating the Baseline Standards Form.	Alice Tsai (Financial Analyst 2 / Interim Financial Manager) / Bill Spindler (IT Director)	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Le'Che Mayes (ADBA) - Non AR cost centers / Sonia Morales (Financial Analyst 1) - AR cost centers	
2	Reviewing cost center verifications.	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)	
3	Approving cost center verifications.	Cost Center IT Managers	
4	Ensuring all cost centers are verified/approved on a timely basis.	Alice Tsai (Financial Analyst 2)	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Arlisha Bogan (Business Asst 2) Sonia Morales (Financial Analyst 1) Tammy Talley (Business Asst 2)	
2	Ensuring the validity of travel and expense reimbursements.	Tammy Talley (Business Asst 2)	Arlisha Bogan (Business Asst 2) Sonia Morales (Financial Analyst 1)
3	Ensuring that goods and services are received and that timely payment is made.	Arlisha Bogan (Business Asst 2) Sonia Morales (Financial Analyst 1) Tammy Talley (Business Asst 2) Individual Requestors	
4	Ensuring correct account coding on purchases documents.	Le'Che Mayes (ADBA)	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)
5	Primary contact for inquiries to expenditure transactions.	Arlisha Bogan (Business Asst 2) Tammy Talley (Business Asst 2)	Sonia Morales (Financial Analyst 1)
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Tammy Talley (Business Asst 2)	Rowena Castro (ADBA)
2	Reconciling bi-weekly leave accruals to the HR System.	Tammy Talley (Business Asst 2)	Rowena Castro (ADBA)
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Tammy Talley (Business Asst 2)	Rowena Castro (ADBA)
4	Ensuring all monthly leave is recorded and approved in the HR System.	Rowena Castro (ADBA)	Le'Che Mayes (ADBA)
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Rowena Castro (ADBA)-monthly Tammy Talley (Business Asst 2)-bi-weekly	Le'Che Mayes (ADBA)
6	Completing termination clearance procedures.	Rowena Castro (ADBA)-monthly Tammy Talley (Business Asst 2)-bi-weekly	Le'Che Mayes (ADBA)
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Rowena Castro (ADBA)	Le'Che Mayes (ADBA)
8	Paycheck distribution.	Treasury Office	
9	Maintaining departmental Personnel files.	Tammy Talley (Business Asst 2)	Rowena Castro (ADBA)
10	Ensuring valid authorization of new hires.	Rowena Castro (ADBA)	Tammy Talley (Business Asst 2)
11	Ensuring valid authorization of changes in compensation rates.	Rowena Castro (ADBA)	Tammy Talley (Business Asst 2)

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12	Ensuring the accurate input of changes to the HR System.	Rowena Castro (ADBA)	Tammy Talley (Business Asst 2)
13	Propriety of leave account classification on time records.	Rowena Castro (ADBA)-monthly Tammy Talley (Business Asst 2)-bi-weekly	Le'Che Mayes (ADBA)
14	Consistent and efficient responses to inquiries.	Rowena Castro (ADBA)-monthly Tammy Talley (Business Asst 2)-bi-weekly	
CASH HANDLING			
1	Collecting cash, checks, etc.	Amy Ma / Haydee Rodriguez / Vy Le/ Alfonso Cervantes (Service Desk Staff) / Arlisha Bogan (Business Assistant 2)	Leroy Mays / Ivy Davis / Brian Thomas / Jose Hernandez / Tu Nguyen (Service Desk Staff) Sonia Morales (Financial Analyst 1)
2	Reconciling cash, checks, etc. to receipts.	Amy Ma / Haydee Rodriguez (Service Desk Staff) / Sonia Morales (Financial Analyst 1)	Ivy Davis / Vy Le (Service Desk Staff)
3	Preparing deposits.	Amy Ma / Haydee Rodriguez (Service Desk Staff) / Arlisha Bogan (Business Assistant 2)	Ivy Davis / Vy Le (Service Desk Staff) Sonia Morales (Financial Analyst 1)
4	Preparing Journal Entries.	Amy Ma / Haydee Rodriguez (Service Desk Staff) / Arlisha Bogan (Business Assistant 2)	Ivy Davis / Vy Le (Service Desk Staff) Sonia Morales (Financial Analyst 1)
5	Verifying deposits posted correctly in the Finance System.	Le'Che Mayes (ADBA)	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)
6	Adequacy of physical safeguards.	All staff	
7	Transporting deposits to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Amy Ma / Haydee Rodriguez (Service Desk Staff) / Arlisha Bogan (Business Assistant 2)	Ivy Davis / Haydee Rodriguez / Vy Le (Service Desk Staff) Le'Che Mayes (ADBA)
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)	Sonia Morales (Financial Analyst 1)
10	Updating Cash Handling Procedures as needed.	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)	Sonia Morales (Financial Analyst 1)
11	Distribution of Cash Handling Procedures to employees who handle cash.	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)	Sonia Morales (Financial Analyst 1)
12	Consistent and efficient responses to inquiries.	Amy Ma / Haydee Rodriguez (Service Desk Staff) / Arlisha Bogan (Business Assistant 2)	Sonia Morales (Financial Analyst 1)
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			

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1	Manager review of long distance charges for unusual activity.	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)	Rowena Castro (ADBA)
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	Rowena Castro (ADBA)	Tammy Talley (Business Asst 2)
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Bill Spindler (IT Director)	Sonia Morales (Financial Analyst 1)
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	UIT Custodians	
2	Ensuring the annual inventory was completed correctly.	UIT Custodians and Managers	Le'Che Mayes (ADBA)
3	Tagging equipment.	UIT Custodians & Designees	
4	Approving requests for removal of equipment from campus.	UIT Managers	Le'Che Mayes (ADBA)
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Rowena Castro (ADBA)	Tammy Talley (Business Asst 2)
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Rowena Castro (ADBA)	Tammy Talley (Business Asst 2)
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Rowena Castro (ADBA)	Tammy Talley (Business Asst 2)
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	
2	Billing.	Arlisha Bogan (Business Asst 2)	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)
3	Collection.	Arlisha Bogan (Business Asst 2)	Sonia Morales (Financial Analyst 1)
4	Recording.	Arlisha Bogan (Business Asst 2)	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)
5	Monitoring credit extended.	N/A	
6	Approving write-offs.	George Creighton (Mgr., Telecom Network Ops)	David Johnson (Exec. Dir., TSS)
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Alice Tsai (Financial Analyst 2 / Interim Financial Manager)	Sonia Morales (Financial Analyst 1) / Le'Che Mayes (ADBA)
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.	UIT Managers & Dept Heads	
2	Ensuring that critical data back up occurs.	UIT Staff (for their desktops)	
3	Ensuring that procedures such as password controls are followed.	UIT Technical Administrators	
4	Reporting of suspected security violations.	All staff	