Administration Finance Division Business Services Baseline Standards FY 2014

STANDARDS 1 Ensuring current. 2 Updating FINANCIAL REPO 1 Preparing 2 Reviewin 3 Approvin 4 Ensuring 5 Primary 7 Reconcil 6 Complet	AL POLICIES & PROCEDURES / BASELINE	Responsible Person(s	
STANDARDS 1 Ensuring current. 2 Updating FINANCIAL REPO 1 1 Preparing 2 Reviewin 3 Approvin 4 Ensuring basis. FINANCIAL REPO 1 1 Preparing 2 Reviewin 3 Approvin 4 Ensuring 2 Ensuring 2 Ensuring 3 Ensuring 3 Ensuring 5 Primary PAYROLL / HUM 1 1 Reconcil 9 Payroll. 4 Ensuring 5 Reconcil 9 System. 5 Reconcil 9 PAYROL		Primary (Required)	Secondary (Optional)
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1 Preparing 2 Reviewing 3 Approving 4 Ensuring 5 Primary 6 Complet 7 Ensuring	ing the Baseline Standards Form.	Matthew Crouch, Dept. Bus. Administrator	Linda M. Garza, Director Business Service
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2 Reviewin 3 Approvin 4 Ensuring basis. FINANCIAL REPO 1 Ensuring 2 Ensuring 2 Ensuring 3 Ensuring 3 Ensuring 4 Ensuring 5 Primary 6 Completion 7 Ensuring	ing cost center verifications.	Diane Sylvester, Fin. Coord. 2; Matthew Crouch,	Linda M. Garza, Director Business
3 Approvin 4 Ensuring basis. TNANCIAL REPO 1 1 Ensuring 2 Ensuring 3 Ensuring payment 4 Ensuring 5 Primary 2 Reconcil effort rep 2 Reconcil effort rep 3 Ensuring payrent 4 Ensuring 5 Primary 2 Reconcil effort rep 3 Ensuring 9 Payroll. 4 Ensuring 5 Reconcil effort rep 2 Reconcil effort rep 3 Ensuring 9 Payroll. 4 Ensuring 5 Reconcil ePARs (not explain the payroll). 5 Reconcil ePARs (not explain the payroll). 6 Complet 7 Ensuring	c	Dept. Bus. Administrator; Tramaine Johnson,	Services; Nancy Palomo, Asst. Bus.
3 Approvin 4 Ensuring basis. FINANCIAL REPO 1 1 Ensuring 2 Ensuring 3 Ensuring payment 4 Ensuring 5 Primary 5 Primary 2 Reconcil 3 Ensuring 5 Primary 5 Reconcil 3 Ensuring 2 Reconcil 3 Ensuring 9 Payroll. 4 Ensuring 6 Complet 7 Ensuring		Financial Coordinator 2	Admnstr-Admin
4 Ensuring basis. FINANCIAL REPO 1 Ensuring 2 Ensuring 3 Ensuring payment 4 Ensuring 5 Primary 2 Reconcil effort rep 2 Resuring payment 4 Ensuring 5 Primary 6 Complet 7 Ensuring	ving cost center verifications.	Nancy Palomo, Asst. Bus. Admnstr-Admin	Linda M. Garza, Director Business Service
4 Ensuring basis. FINANCIAL REPO 1 Ensuring 2 Ensuring 3 Ensuring payment 4 Ensuring 5 Primary 5 Primary 2 Reconcil 1 Reconcil 3 Ensuring 5 Primary 5 Reconcil 3 Ensuring 2 Reconcil 3 Ensuring 9 Payroll. 4 Ensuring 9 Payroll. 4 Ensuring 5 Reconcil 6 Complet 7 Ensuring	ving cost center verifications.	Pat Sayles, Executive Director, Business Services,	
basis. INANCIAL REPO 1 Ensuring 2 Ensuring 3 Ensuring 3 Ensuring 9 ayment 4 Ensuring 5 Primary 9 AYROLL / HUM. 1 Reconcil 9 agencil 3 Ensuring 9 ayroll. 4 Ensuring 9 ayroll. 5 Reconcil 1 ePARs (i verificati 6 Complet 7 Ensuring		and Designated Cost Center Managers	
INANCIAL REPO 1 Ensuring 2 Ensuring 3 Ensuring 3 Ensuring 4 Ensuring 5 Primary 6 Complet 7 Ensuring	ng all cost centers are verified/approved on a timely	Linda M. Garza, Director Business Services	Nancy Palomo, Asst. Bus. Admnstr-Admin
1 Ensuring 2 Ensuring 2 Ensuring 3 Ensuring 3 Ensuring 4 Ensuring 5 Primary 5 Primary 2 Reconcil 3 Ensuring 2 Reconcil 3 Ensuring 9 Payroll. 4 Ensuring 9 System. 5 Reconcil 1 Ensuring 9 System. 5 Reconcil 6 Complet 7 Ensuring	PORTING - EXPENDITURE TRANSACTIONS		
2 Ensuring 3 Ensuring 3 Ensuring 4 Ensuring 5 Primary 5 Primary 7 Ensuring 9 Payroll. 1 Reconcil 1 Reconcil 9 Payroll. 4 Ensuring 9 System. 5 Reconcil 1 Provenci 3 Ensuring 9 System. 5 Reconcil 1 Provenci 4 Ensuring 5 Reconcil 1 Payroll. 4 Ensuring 5 Reconcil 1 Provenci 6 Complet			
3 Ensuring payment 4 Ensuring 5 Primary 5 Primary 5 Primary 6 Complet 7 Ensuring	ng valid authorization of purchase documents.	Matthew Crouch, Dept. Bus. Administrator;	Linda M. Garza, Director Business Services; Nancy Palomo, Asst. Bus. Admnstr-Admin
payment 4 Ensuring 5 Primary 5 Primary 5 Primary 2 Reconcil effort rep 2 Reconcil 3 Ensuring Payroll. 4 Ensuring 5 Reconcil 9 System. 5 Reconcil 0 Complet 7 Ensuring	ng the validity of travel and expense reimbursements.	Diane Sylvester, Fin. Coord. 2; Matthew Crouch, Dept. Bus. Administrator; Tramaine Johnson, Financial Coordinator 2; Warren Cornish, Fin. Coord 1,	Linda M. Garza, Director Business Service
5 Primary 5 Primary 1 Reconcil 1 Reconcil 2 Reconcil 3 Ensuring Payroll. 4 4 Ensuring System. 5 5 Reconcil ePARs (r verificati 6 Complet 7 Ensuring	ng that goods and services are received and that timely nt is made.	Diane Sylvester, Fin. Coord. 2; Matthew Crouch, Dept. Bus. Administrator; Tramaine Johnson, Financial Coordinator 2; Warren Cornish, Fin.	Linda M. Garza, Director Business Service
PAYROLL / HUM. 1 Reconcil effort rep 2 Reconcil 3 Ensuring Payroll. 4 Ensuring System. 5 Reconcil ePARs (n verificati 6 Complet 7 Ensuring	ng correct account coding on purchases documents.	Coord 1, Matthew Crouch, Dept. Bus. Administrator	Linda M. Garza, Director Business Service
1 Reconcil 2 Reconcil 3 Ensuring 9 Payroll. 4 Ensuring System. System. 5 Reconcil ePARs (n verificati 6 Complet 7 Ensuring	ry contact for inquiries to expenditure transactions.	Matthew Crouch, Dept. Bus. Administrator	Linda M. Garza, Director Business Service
effort rep 2 Reconcil 3 Ensuring Payroll. 4 Ensuring System. 5 Reconcil ePARs (n verificati 6 Complet 7 Ensuring	MAN RESOURCES		
effort rep 2 Reconcil 3 Ensuring Payroll. 4 Ensuring System. 5 Reconcil ePARs (n verificati 6 Complet 7 Ensuring	ciling approved bi-weekly leave requests to time and	Nancy Palomo, Asst. Bus. Admnstr-Admin	Linda M. Garza, Director Business Service
3 Ensuring Payroll. 4 Ensuring System. 5 Reconcil ePARs (n verificati 6 Complet 7 Ensuring		Nancy Palomo, Asst. Bus. Admnstr-Admin	Linda M. Garza, Director Business Service
Payroll. 4 Ensuring System. 5 Reconcil ePARs (1 verificati 6 Complet 7 Ensuring			
System. 5 Reconcil ePARs (i verificati 6 Complet 7 Ensuring		Nancy Palomo, Asst. Bus. Admnstr-Admin	Diane Sylvester, Financial Coordinator 2
5 Reconcil ePARs (r verificati 6 Complet 7 Ensuring	ng all monthly leave is recorded and approved in the HR	Nancy Palomo, Asst. Bus. Admnstr-Admin	Linda M. Garza, Director Business Service
6 Complet 7 Ensuring	iciling time and effort reports (bi-weekly employees) and s (monthly employees) to the trial and final payroll ation reports.	Diane Sylvester, Financial Coordinator 2	Nancy Palomo, Asst. Bus. Admnstr-Admin
	leting termination clearance procedures.	Diane Sylvester, Financial Coordinator 2	Nancy Palomo, Asst. Bus. Admnstr-Admir
aepartme	ng terminated employees are no longer charged to mental cost centers.	Diane Sylvester, Fin. Coord. 2; Matthew Crouch,	Nancy Palomo, Asst. Bus. Admnstr-Admir
8 Paycheck	mentai cost centers.	Dept. Bus. Administrator; Treasury	N/A
9 Maintain	eck distribution.	Nancy Palomo, Asst. Bus. Admnstr-Admin	Diane Sylvester, Financial Coordinator 2
10 Ensuring			
11 Ensuring	eck distribution.	Nancy Palomo, Asst. Bus. Admnstr-Admin	Linda M. Garza, Director Business Service

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Descriptio	on of Responsibility	Responsible Person(s Primary (Required)	s) (Name/Title) Secondary (Optional)
	Ensuring the accurate input of changes to the HR System.	Diane Sylvester, Financial Coordinator 2	Nancy Palomo, Asst. Bus. Admnstr-Admin
13	Propriety of leave account classification on time records.	Nancy Palomo, Asst. Bus. Admnstr-Admin	Diane Sylvester, Financial Coordinator 2
14	Consistent and efficient responses to inquiries.	Nancy Palomo, Asst. Bus. Admnstr-Admin	Linda M. Garza, Director Business Services
CASH HA	NDLING		
1	Collecting cash, checks, etc.	Diane Sylvester, Fin. Coord. 2; Matthew Crouch, Dept. Bus. Administrator; Tramaine Johnson, Financial Coordinator 2; Warren Cornish, Fin. C oord. 1	Linda M. Garza, Director Business Services; Nancy Palomo, Asst. Bus. Admnstr-Admin
2	Reconciling cash, checks, etc. to receipts.		Linda M. Garza, Director Business Services; Nancy Palomo, Asst. Bus. Admnstr-Admin
3	Preparing deposits.	Diane Sylvester, Fin. Coord. 2; Matthew Crouch, Dept. Bus. Administrator; Tramaine Johnson, Financial Coordinator 2; Warren Cornish, Fin. C oord. 1	Linda M. Garza, Director Business Services; Nancy Palomo, Asst. Bus. Admnstr-Admin
4	Preparing Journal Entries.		Linda M. Garza, Director Business Services; Nancy Palomo, Asst. Bus. Admnstr-Admin
5	Verifying deposits posted correctly in the Finance System.	Diane Sylvester, Fin. Coord. 2; Matthew Crouch, Dept. Bus. Administrator; Tramaine Johnson, Financial Coordinator 2; Warren Cornish, Fin. C oord. 1	Linda M. Garza, Director Business Services; Nancy Palomo, Asst. Bus. Admnstr-Admin
6	Adequacy of physical safeguards.	ALL	ALL
7	Transporting deposits to Student Financial Services.	UH Police Dept (UH DPS)	N/A
8	Ensuring deposits are made timely.	Diane Sylvester, Fin. Coord. 2; Matthew Crouch, Dept. Bus. Administrator; Tramaine Johnson, Financial Coordinator 2; Warren Cornish, Fin. C oord. 1	Linda M. Garza, Director Business Services; Nancy Palomo, Asst. Bus. Admnstr-Admin
	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Matthew Crouch, Dept. Bus. Administrator;	Linda M. Garza, Director Business Services; Nancy Palomo, Asst. Bus. Admnstr-Admin
10	Updating Cash Handling Procedures as needed.	Matthew Crouch, Dept. Bus. Administrator	Linda M. Garza, Director Business Services
	Distribution of Cash Handling Procedures to employees who handle cash.	Matthew Crouch, Dept. Bus. Administrator	Linda M. Garza, Director Business Services
	Consistent and efficient responses to inquiries.	Diane Sylvester, Fin. Coord. 2; Matthew Crouch, Dept. Bus. Administrator; Tramaine Johnson, Financial Coordinator 2; Warren Cornish, Fin. C oord. 1	Linda M. Garza, Director Business Services
PETTY CA	ASH		
1	Preparing petty cash disbursements.	N/A	
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	
	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	
	Approving petty cash disbursements.	N/A	
5	Replenishing the petty cash fund timely.	N/A	
	Ensuring the petty cash fund is balanced after each disbursement.	N/A	

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		Responsible Person(s	
	on of Responsibility	Primary (Required)	Secondary (Optional)
LONG DI	ISTANCE CHARGES		
1	Manager review of long distance charges for unusual activity.	N/A	N/A
2	Ensuring personal calls are reimbursed within 10 days from the	N/A	N/A
	billing date.		
CONTRA	ACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Luisa Gallegos, Financial Coordinator 2; Linda M. Garza, Director Business Services	Pat Sayles, Executive Director, Business Services
PROPER	TY MANAGEMENT		
I KOI LK			
1	Performing the annual inventory.	Dan Olivarez, User Specialist 2	Matthew Crouch, Dept. Bus. Administrator;
2	Ensuring the annual inventory was completed correctly.	Dan Olivarez, User Specialist 2	Matthew Crouch, Dept. Bus.
			Administrator;
3	Tagging equipment.	Dan Olivarez, User Specialist 2	Matthew Crouch, Dept. Bus. Administrator;
4	Approving requests for removal of equipment from campus.	Linda M. Garza, Director Business Services;	Pat Sayles, Executive Director, Business
		Department Directors	Services
DISCLOS	SURE FORMS		
1	Ensuring all employees with purchasing influence complete the	Matthew Crouch Dept. Bus. Administrator	Nancy Palomo, Asst. Bus. Admnstr-Admin
-	annual Related Party disclosure statement online.		
2	Ensuring all full time, benefits eligible, exempt faculty and staff	Matthew Crouch, Dept. Bus. Administrator	Nancy Palomo, Asst. Bus. Admnstr-Admin
	complete the Consulting disclosure statement online.		
3	Ensuring that all Principal and Co-Principal Investigators	N/A	
	complete the annual Conflict of Interest disclosure statement for the Division of Research.		
ACCOUN	VTS RECEIVABLE		
1	Extending of credit.	N/A	
2	Billing.	Matthew Crouch, Dept. Bus. Administrator;	Linda M. Garza, Director Business Services
		Tramaine Johnson, Fin. Coord. 2	
3	Collection.	Matthew Crouch, Dept. Bus. Administrator;	Linda M. Garza, Director Business Services
		Tramaine Johnson, Fin. Coord. 2	
4	Recording.	Matthew Crouch, Dept. Bus. Administrator; Tramaine Johnson, Fin. Coord. 2	Linda M. Garza, Director Business Services
5	Monitoring credit extended.	N/A	
-			
6	Approving write-offs.	Linda M. Garza, Director Business Services	Pat Sayles, Executive Director, Business
NECATI			Services
NEGAIL	VE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive	Matthew Crouch, Dept. Bus. Administrator	Linda M. Garza, Director Business
	fund equity at year-end.	_	Services; Pat Sayles, Executive Director,
2		N/A	
DEDVDT	sponsors. MENTAL COMPUTING		
1	Management of the departments' information technology resources.	Dan Olivarez, User Specialist 2	UIT
2	Ensuring that critical data back up occurs.	Dan Olivarez, User Specialist 2	UIT
		-	
3	Ensuring that procedures such as password controls are followed.	Dan Olivarez, User Specialist 2	UIT
4	Reporting of suspected security violations.	ALL	ALL