

CEAC/Wind Center
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.	Emilita Marin-CBA	Don Waterman-Assistant Director
2	Updating the Baseline Standards Form.	Emilita Marin-CBA	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Emilita Marin-CBA	Rosemary Smith
2	Reviewing cost center verifications.	Don Wateman-Assistant Director	
3	Approving cost center verifications.	Don Wateman-Assistant Director	
4	Ensuring all cost centers are verified/approved on a timely basis.	Emilita Marin-CBA	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Emilita Marin-CBA	
2	Ensuring the validity of travel and expense reimbursements.	Emilita Marin-CBA	
3	Ensuring that goods and services are received and that timely payment is made.	Rosemary Smith	Emilita Marin-CBA
4	Ensuring correct account coding on purchases documents.	Rosemary Smith	Emilita Marin-CBA
5	Primary contact for inquiries to expenditure transactions.	Rosemary Smith	Emilita Marin-CBA
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Emilita Marin-CBA	Rosemary Smith
2	Reconciling bi-weekly leave accruals to the HR System.	Emilita Marin-CBA	Rosemary Smith
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Rosemary Smith	Emilita Marin-CBA
4	Ensuring all monthly leave is recorded and approved in the HR System.	Don Wateman-Assistant Director	Rosemary Smith
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Emilita Marin-CBA	Rosemary Smith
6	Completing termination clearance procedures.	Rosemary Smith	Emilita Marin-CBA
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Emilita Marin-CBA	Rosemary Smith
8	Paycheck distribution.	NA	NA
9	Maintaining departmental Personnel files.	Rosemary Smith	Don Waterman-Assistant Director
10	Ensuring valid authorization of new hires.	Don Waterman-Assistant Director	
11	Ensuring valid authorization of changes in compensation rates.	Don Waterman-Assistant Director	
12	Ensuring the accurate input of changes to the HR System.	Emilita Marin-CBA	Rosemary Smith
13	Propriety of leave account classification on time records.	Rosemary Smith	Don Waterman-Assistant Director
14	Consistent and efficient responses to inquiries.	Rosemary Smith	Emilita Marin-CBA
CASH HANDLING			

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1	Collecting cash, checks, etc.	Rosemary Smith	Emilita Marin-CBA
2	Reconciling cash, checks, etc. to receipts.	Emilita Marin-CBA	
3	Preparing deposits.	Emilita Marin-CBA	
4	Preparing Journal Entries.	Emilita Marin-CBA	
5	Verifying deposits posted correctly in the Finance System.	Emilita Marin-CBA	
6	Adequacy of physical safeguards.	Emilita Marin-CBA	
7	Transporting deposits to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Emilita Marin-CBA	
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Emilita Marin-CBA	
10	Updating Cash Handling Procedures as needed.	Emilita Marin-CBA	April Blount-Financial Coord 2
11	Distribution of Cash Handling Procedures to employees who handle cash.	Emilita Marin-CBA	April Blount-Financial Coord 2
12	Consistent and efficient responses to inquiries.	Emilita Marin-CBA	Rosemary Smith
PETTY CASH			
1	Preparing petty cash disbursements.	NA	
2	Ensuring petty cash disbursements are not for more than \$100.	NA	
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	
4	Approving petty cash disbursements.	NA	
5	Replenishing the petty cash fund timely.	NA	
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	
LONG DISTANCE / CELL PHONE CHARGES			
1	Forwarding employees their long distance and cell phone charge reports for verification.	Rosemary Smith	Emilita Marin-CBA
2	Ensuring employees review their long distance and/or cell phone charge reports.	Rosemary Smith	Emilita Marin-CBA
3	Ensuring personal calls are reimbursed within 10 days from the billing date.	Rosemary Smith	Emilita Marin-CBA
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Emilita Marin-Asst Business Administrator	
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Rosemary Smith	
2	Ensuring the annual inventory was completed correctly.	Rosemary Smith	
3	Tagging equipment.	Rosemary Smith	
4	Approving requests for removal of equipment from campus.	Rosemary Smith	

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Emilita Marin-CBA	Don Waterman-Assistant Director
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Emilita Marin-CBA	Don Waterman-Assistant Director
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Emilita Marin-CBA	Don Waterman-Assistant Director
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.	Emilita Marin-CBA	Don Waterman-Assistant Director
2	Ensuring that research expenditures are covered by funds from sponsors.	Emilita Marin-CBA	Don Waterman-Assistant Director
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	John Young-IT Manager	Rosemary Smith
2	Ensuring that critical data back up occurs.	John Young-IT Manager	Rosemary Smith
3	Ensuring that procedures such as password controls are followed.	John Young-IT Manager	Rosemary Smith
4	Reporting of suspected security violations.	John Young-IT Manager	Rosemary Smith