

Texas Center for Superconductivity at the University of Houston (TcSUH)  
 Baseline Standards Form  
 Fiscal Year 2013

| Description of Responsibility                            | Responsible Person(s) (Name/Title)  |   |
|--|---|---|
|  | Primary (Required)  | Secondary (Optional)  |
| <b>DEPARTMENTAL POLICIES &amp; PROCEDURES / BASELINE</b> |   |   |
| 1  | Ensuring the Departmental Policy and Procedures manual is current.                | Laura Wade, Associate Director for Administration<br>Kristi Martin, DBA   |
| 2  | Updating the Baseline Standards Form.   | Kristi Martin, DBA<br>Laura Wade, Associate Director for Administration   |
| <b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>   |   |   |
| 1  | Preparing cost center verifications.  | Josie Chevis, Accountant 2<br>Kristi Martin, DBA  |
| 2  | Reviewing cost center verifications.  | Kristi Martin, DBA<br>Laura Wade, Associate Director for Administration   |
| 3  | Approving cost center verifications.  | Kristi Martin, DBA<br>Laura Wade, Associate Director for Administration   |
| 4  | Ensuring all cost centers are verified/approved on a timely basis.                | Kristi Martin, DBA<br>Laura Wade, Associate Director for Administration   |
| <b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>    |   |   |
| 1  | Ensuring valid authorization of purchase documents.                               | Bernadette Williams - Financial Asst. 2, Helen Espinoza - Financial Coord. 2, Josie Chevis - Acct 2<br>Kristi Martin, DBA |
| 2  | Ensuring the validity of travel and expense reimbursements.                       | Bernadette Williams - Financial Asst. 2, Helen Espinoza - Financial Coord. 2, Josie Chevis - Acct 2<br>Kristi Martin, DBA |
| 3  | Ensuring that goods and services are received and that timely payment is made.    | Bernadette Williams - Financial Asst. 2, Helen Espinoza - Financial Coord. 2, Josie Chevis - Acct 2<br>Kristi Martin, DBA |
| 4  | Ensuring correct account coding on purchases documents.                           | Bernadette Williams - Financial Asst. 2, Helen Espinoza - Financial Coord. 2, Josie Chevis - Acct 2<br>Kristi Martin, DBA |
| 5  | Primary contact for inquiries to expenditure transactions.                        | Kristi Martin, DBA<br>Laura Wade, Associate Director for Administration   |
| <b>PAYROLL / HUMAN RESOURCES</b>                         |   |   |
| 1  | Reconciling leave records to time and effort reports.                             | Bernadette Williams, Financial Asst 2<br>Kristi Martin, DBA   |
| 2  | Reconciling leave accruals to the payroll system.                                 | Bernadette Williams, Financial Asst 2<br>Kristi Martin, DBA   |
| 3  | Ensuring all time and effort reports are submitted to Payroll.                    | Bernadette Williams, Financial Asst 2<br>Kristi Martin, DBA   |
| 4  | Reconciling time and effort reports to check registers.                           | Bernadette Williams, Financial Asst 2<br>Kristi Martin, DBA   |
| 5  | Completing termination clearance procedures.                                      | Bernadette Williams - Financial Asst. 2, Helen Espinoza - Financial Coord. 2, Josie Chevis - Acct 2<br>Kristi Martin, DBA |
| 6  | Ensuring terminated employees are no longer charged to departmental cost centers. | Josie Chevis, Accountant 2<br>Kristi Martin, DBA  |
| 7  | Paycheck distribution.  | Bernadette Williams, Financial Asst 2<br>Josie Chevis, Accountant 2   |
| 8  | Maintaining departmental Personnel files  | Bernadette Williams - Financial Asst. 2, Helen Espinoza - Financial Coord. 2, Josie Chevis - Acct 2<br>Kristi Martin, DBA |
| 9  | Ensuring valid authorization of new hires.  | Bernadette Williams - Financial Asst. 2, Helen Espinoza - Financial Coord. 2, Josie Chevis - Acct 2<br>Kristi Martin, DBA |
| 10   | Ensuring valid authorization of changes in compensation rates.                    | Kristi Martin, DBA<br>Laura Wade, Associate Director for Administration   |

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| 11  | Ensuring the accurate input of changes to the payroll system.                                      | Kristi Martin, DBA  | Josie Chevis, Accountant 2                        |
| 12  | Propriety of leave account classification on time records.   | Kristi Martin, DBA  | Laura Wade, Associate Director for Administration |
| 13  | Consistent and efficient responses to inquiries.   | Kristi Martin, DBA  | Laura Wade, Associate Director for Administration |
| <b>CASH HANDLING</b>                      |  |   |   |
| 1   | Collecting cash, checks, etc.  | Helen Espinoza, Financial Coord. 2 and Kristi Martin, DBA | Laura Wade, Associate Director for Administration |
| 2   | Reconciling cash, checks, etc. to receipts.  | Josie Chevis, Accountant 2                                | Kristi Martin, DBA                                |
| 3   | Preparing deposits.  | Helen Espinoza, Financial Coord. 2                        | Josie Chevis, Accountant 2                        |
| 4   | Preparing Journal Entries.   | Josie Chevis, Accountant 2                                | Kristi Martin, DBA                                |
| 5   | Verifying deposits to the financial system.  | Josie Chevis, Accountant 2                                | Kristi Martin, DBA                                |
| 6   | Adequacy of physical safeguards.   | Kristi Martin, DBA  | Laura Wade, Associate Director for Administration |
| 7   | Transporting deposits to Student Financial Services.   | NA  |   |
| 8   | Ensuring deposits are made timely.   | Kristi Martin, DBA  | Laura Wade, Associate Director for Administration |
| 9   | Ensuring "Acknowledgement of Cash Handling Duties" form is completed by all appropriate employees. | Kristi Martin, DBA  | Laura Wade, Associate Director for Administration |
| 10  | Consistent and efficient responses to inquiries.   | Kristi Martin, DBA  | Laura Wade, Associate Director for Administration |
| <b>PETTY CASH</b>                         |  | NA  |   |
| 1   | Preparing petty cash disbursements.  |   |   |
| 2   | Ensuring petty cash disbursements are not for more than \$100.                                     |   |   |
| 3   | Ensuring petty cash disbursements are made for only authorized purposes.                           |   |   |
| 4   | Approving petty cash disbursements.  |   |   |
| 5   | Replenishing the petty cash fund timely.   |   |   |
| 6   | Ensuring the petty cash fund is balanced after each disbursement.                                  |   |   |
| <b>LONG DISTANCE / CELL PHONE CHARGES</b> |  |   |   |
| 1   | Forwarding employees long distance and cell phone charge reports.                                  | NA  | NA  |
| 2   | Ensuring employees review their long distance and/or cell phone charge reports.                    | NA  | NA  |
| 3   | Ensuring personal calls are reimbursed within 10 days from the billing date.                       | Helen Espinoza, Financial Coord. 2                        | Kristi Martin, DBA                                |
| <b>CONTRACT ADMINISTRATION</b>            |  |   |   |
| 1   | Ensuring departmental personnel comply with contract administration policies/procedures.           | Kristi Martin, DBA  | Laura Wade, Associate Director for Administration |
| <b>PROPERTY MANAGEMENT</b>                |  |   |   |
| 1   | Performing the annual inventory.   | Helen Espinoza, Financial Coord. 2                        | Kristi Martin, DBA                                |
| 2   | Ensuring the annual inventory was completed correctly.   | Helen Espinoza, Financial Coord. 2                        | Kristi Martin, DBA                                |
| 3   | Tagging equipment.   | Helen Espinoza, Financial Coord. 2                        | Kristi Martin, DBA                                |
| 4   | Approving requests for removal of equipment from campus.   | Helen Espinoza, Financial Coord. 2                        | Kristi Martin, DBA                                |
| <b>DISCLOSURE FORMS</b>                   |  |   |   |

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| <b>Description of Responsibility</b> |  | <b>Primary (Required)</b>                         | <b>Secondary (Optional)</b>                       |
| 1                                    | Ensuring all employees with purchasing influence complete a Related Party disclosure statement.                  | Laura Wade, Associate Director for Administration | Kristi Martin, DBA                                |
| 2                                    | Ensuring all full time, benefits eligible, exempt staff complete a Consulting disclosure statement.              | Laura Wade, Associate Director for Administration | Kristi Martin, DBA                                |
| 3                                    | Ensuring that all Principal and Co-Principal Investigators complete a Conflict of Interest disclosure statement. | Laura Wade, Associate Director for Administration | Kristi Martin, DBA                                |
| <b>ACCOUNTS RECEIVABLE</b>           |  |   |   |
| 1                                    | Extending of credit.   | Kristi Martin, DBA                                | Laura Wade, Associate Director for Administration |
| 2                                    | Billing.   | Helen Espinoza, Financial Coord. 2                | Kristi Martin, DBA                                |
| 3                                    | Collection.  | Helen Espinoza, Financial Coord. 2                | Kristi Martin, DBA                                |
| 4                                    | Recording.   | Helen Espinoza, Financial Coord. 2                | Kristi Martin, DBA                                |
| 5                                    | Monitoring credit extended.  | Helen Espinoza, Financial Coord. 2                | Kristi Martin, DBA                                |
| 6                                    | Approving write-offs.  | NA  |   |
| <b>NEGATIVE BALANCES</b>             |  |   |   |
| 1                                    | Ensuring that all fund groups have positive fund equity at year-end.   | Kristi Martin, DBA                                | Laura Wade, Associate Director for Administration |
| 2                                    | Ensuring that research expenditures are covered by funds from sponsors.  | Kristi Martin, DBA                                | Laura Wade, Associate Director for Administration |
| <b>DEPARTMENTAL COMPUTING</b>        |  |   |   |
| 1                                    | Management of the departments' information technology resources.   | Brion Jacobs, Web Developer III                   | NSM   |
| 2                                    | Ensuring that critical data back up occurs.  | Brion Jacobs, Web Developer III                   | NSM   |
| 3                                    | Ensuring that procedures such as password controls are followed.   | Brion Jacobs, Web Developer III                   | NSM   |
| 4                                    | Reporting of suspected security violations.  | Brion Jacobs, Web Developer III                   | NSM   |