TcSUH- H0452 Baseline Standards FY 2024

| | | Responsible Person(s) (Name/Title) | | |
|---------|--|------------------------------------|--|--|
| Descrip | tion of Responsibility | Primary (Required) | Secondary (Optional) | |
| DEPAR | TMENTAL POLICIES & PROCEDURES / BASELINE | | | |
| STANI | OARDS | | | |
| 1 | Ensuring the Departmental Policy and Procedures manual is | | | |
| | current. | Suqing Li, DBA | Cristina Milligan, Asst. VP for Res. Adm | |
| 2 | Updating the Baseline Standards Form. | | | |
| | | Suqing Li, DBA | | |
| FINAN | CIAL REPORTING - COST CENTER VERIFICATIONS | | | |
| | | | | |
| 1 | Preparing cost center verifications. | Michele Hoffman, Assoc. Director | | |
| | | Rresearch Ctr Adm | Adilia Vargas, Temp | |
| 2 | Reviewing cost center verifications. | Thao Le, Financial Coordinator II | • | |
| | e e e e e e e e e e e e e e e e e e e | , | Suqing Li, DBA | |
| 3 | Approving cost center verifications. | Cost Center Managers | Suqing Li, DBA (as delegate) | |
| _ | | 5 | | |
| 4 | Ensuring all cost centers are verified/approved on a timely basis. | Suqing Li, DBA | | |
| | | 1 8 7 | | |
| FINAN | CIAL REPORTING - EXPENDITURE TRANSACTIONS | | | |
| | | | | |
| 1 | Ensuring valid authorization of purchase documents. | Cory Tristan, Financial Asst 2, | | |
| _ | | Thao Le, Financial Coordinator II | | |
| | | That Be, I manetal coordinator if | Suging Li, DBA | |
| 2 | Ensuring the validity of travel and expense reimbursements. | Cory Tristan, Financial Asst 2, | 5 uqg 2., 22.1 | |
| | Ensuring the validity of traver and expense remoursements. | Thao Le, Financial Coordinator II | | |
| | | Thao Le, Financial Coordinator II | Suqing Li, DBA | |
| 3 | Ensuring that goods and services are received and that timely | Cory Tristan, Financial Asst 2, | Buqing Bi, BBi 1 | |
| 3 | payment is made. | Cory Tristan, I maneral Asst 2, | The Francisco Control of the Francisco Control | |
| | payment is made. | | Thao Le, Financial Coordinator II | |
| | | | Suqing Li, DBA | |
| 4 | Ensuring correct account coding on purchases documents. | Cory Tristan, Financial Asst 2, | | |
| | | Thao Le, Financial Coordinator II | Suqing Li, DBA | |
| 5 | Primary contact for inquiries to expenditure transactions. | | | |
| | | Thao Le, Financial Coordinator II | Suqing Li, DBA | |
| PAYRO | DLL / HUMAN RESOURCES | | | |
| | | | | |
| 1 | Ensuring all bi-weekly reported time and leave are approved | Supervisors | | |
| | before the deadlines set by Payroll, so that the correct hours are | Thao Le, Financial Coordinator II | | |
| | recorded and paid on each bi-weekly paycheck. | | Suqing Li, DBA | |
| 2 | Ensuring all monthly leave is recorded and approved before the | Supervisors | | |
| | deadlines set by Payroll. | Thao Le, Financial Coordinator II | Suqing Li, DBA | |
| 3 | Reconciling approved reported time and leave (bi-weekly | Thao Le, Financial Coordinator II | | |
| | employees) and ePARs (monthly employees) to the trial and | , | | |
| | final payroll verification reports. | | Suging Li, DBA | |
| 4 | Completing termination clearance procedures. | Suging Li, DBA | | |
| | completing termination eleurance procedures. | Suding El, BB11 | | |
| 5 | Ensuring terminated employees are no longer charged to | Thao Le, Financial Coordinator II | | |
| | departmental cost centers. | The Le, I manetal Coolumntol II | Suqing Li, DBA | |
| 6 | Maintaining departmental Personnel files. | Thao Le, Financial Coordinator II | | |
| | Tramaming departmental 1 ersollier mes. | That Le, I manetal Coolumator II | Suqing Li, DBA | |
| 7 | Ensuring valid authorization of new hires. | Thao Le, Financial Coordinator II | | |
| _ ′ | Ensuring valid authorization of ficw filles. | That Le, I maneral Coolumator II | Suqing Li, DBA | |
| 8 | Ensuring valid authorization of changes in compensation rates. | Thao Le, Financial Coordinator II | Suqing Li, DBA Suqing Li, DBA | |
| 8 | Ensuring valid audiorization of changes in compensation rates. | Thao Le, Financial Coolumatof II | Suquig Li, DDA | |
| 0 | Ensuring the accurate input of changes to the HR System. | Theo La Financial Coordinator II | | |
| 9 | Ensuring the accurate input of changes to the FIK System. | Thao Le, Financial Coordinator II | Suqing Li, DBA | |
| 10 | Consistent and officient assumances to in equiples | Theo I a Financial Countington II | Suquig Li, DDA | |
| 10 | Consistent and efficient responses to inquiries. | Thao Le, Financial Coordinator II | Suging I; DBA | |
| | | | Suqing Li, DBA | |

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| | | | erson(s) (Name/Title) |
|---------|---|---|--|
| Descrip | otion of Responsibility | Primary (Required) | Secondary (Optional) |
| CASH I | HANDLING | | |
| 1 | Collecting cash, checks, etc. | Cory Tristan, Financial Assistant 2 | Suqing Li, DBA |
| | Concerning easin, encokis, etc. | Thao Le, Financial Coordinator II | Suding Ei, BBit |
| 2 | Reconciling cash, checks, etc. to receipts. | Thao Le, Financial Coordinator II | |
| | recomming them, enough, ever to recorptor | Cory Tristan, Financial Assistant 2 | Suqing Li, DBA |
| 3 | Preparing deposits. | Thao Le, Financial Coordinator II; | |
| , | Treparing deposits. | Cory Tristan, Financial Assistant 2 | Suqing Li, DBA |
| 4 | Preparing Journal Entries. | Thao Le, Financial Coordinator II; | 1 8 |
| | Trepuring Courina Environ | Cory Tristan, financial Assistant 2 | Suqign Li, DBA |
| 5 | Verifying deposits posted correctly in the Finance System. | Thao Le, Financial Coordinator II | Suqign Li, DBA |
| 5 | territing deposits posted correctly in the rimance system. | Cory Tristan, financial Assistant 2 | 5 wq.g.: 21, 22.1 |
| 6 | Adequacy of physical safeguards of cash receipts and | Thao Le, Financial Coordinator II | Suqing Li, DBA |
| | equivalent. | , | |
| 7 | Secure deposits via UHDPS to Student Financial Services. | Cory Tristan, Financial Assistant 2 | Thao Le, Financial Coordinator II |
| | | | |
| 8 | Ensuring deposits are made timely. | Thao Le, Financial Coordinator II | |
| | | Cory Tristan, financial Assistant 2 | Suqing Li, DBA |
| 9 | Ensuring all employees who handle cash have completed Cash | Suqing Li, DBA | |
| | Security Procedures or Cash Deposit and Security Procedures | | |
| | training. | | Cristina Milligan, Asst. VP for Res. Adm |
| 10 | Updating Cash Handling Procedures as needed. | Suqing Li, DBA | , |
| | | 1 8 7 | Cristina Milligan, Asst. VP for Res. Adm |
| 11 | Distribution of Cash Handling Procedures to employees who | Suqing Li, DBA | , |
| | handle cash. | 1 8 7 | Cristina Milligan, Asst. VP for Res. Adm |
| 12 | Consistent and efficient responses to inquiries. | Suqing Li, DBA | 5 / |
| | | | Cristina Milligan, Asst. VP for Res. Adm |
| PETTY | CASH | | |
| | | | |
| 1 | Preparing petty cash disbursements. | NA | |
| • | Treputing penty tuan discussionalists | | |
| 2 | Ensuring petty cash disbursements are not for more than \$100. | NA | |
| _ | | | |
| 3 | Ensuring petty cash disbursements are made for only authorized | NA | |
| | purposes. | | |
| 4 | Approving petty cash disbursements. | NA | |
| | | | |
| 5 | Replenishing the petty cash fund timely. | NA | |
| | | | |
| 6 | Ensuring the petty cash fund is balanced after each | NA | |
| | disbursement. | | |
| CONTE | RACT ADMINISTRATION | | |
| | | | |
| 1 | Ensuring departmental personnel comply with contract | Thao Le, Financial Coordinator II | |
| | administration policies/procedures. | , | Suging Li, DBA |
| PROPE | RTY MANAGEMENT | | 1 0 |
| | | | |
| 1 | Performing the annual inventory. | Troy Christensen, Program Mrg. 2 | |
| | , | , | Suqing Li, DBA |
| 2 | Ensuring the annual inventory was completed correctly. | Troy Christensen, Program Mrg. 2 | , , |
| _ | | ,g- | Suging Li, DBA |
| 3 | Tagging equipment. | Troy Christensen, Program Mrg. 2 | , , |
| | | | Suqing Li, DBA |
| 4 | Approving requests for removal of equipment from campus. | Troy Christensen, Program Mrg. 2 | |
| | | | Suqing Li, DBA |
| DISCLO | OSURE FORMS | | |
| | | | |
| 1 | Ensuring all employees with purchasing influence complete the | Suqing Li, DBA | |
| | annual Related Party disclosure statement online. | | Cristina Milligan, Asst. VP for Res. Adm |
| 2 | Ensuring all full time, benefits eligible, exempt faculty and staff | Suqing Li, DBA | |
| | complete the Consulting disclosure statement online. | | Cristina Milligan, Asst. VP for Res. Adm |
| 3 | Ensuring that all Principal and Co-Principal Investigators | Suqing Li, DBA | |
| | complete the annual Conflict of Interest disclosure statement for | | |
| | the Division of Research. | | Cristina Milligan, Asst. VP for Res. Adm |
| | | 1 | 6 , |

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| | | Responsible Person(s) (Name/Title) | |
|-------------------------------|---|--|--|
| Description of Responsibility | | Primary (Required) | Secondary (Optional) |
| ACCOUNTS RECEIVABLE | | | |
| 1 | Extending of credit. | Suqing Li, DBA | Cristina Milligan, Asst. VP for Res. Adm |
| 2 | Billing. | Dezhi Wang, Research Prof. Thao Le, Financial Coordinator II | Suqing Li, DBA |
| 3 | Collection. | Cory Tristan, Financial Asst 2 Thao Le, Financial Coordinator II | Suqing Li, DBA |
| 4 | Recording. | Cory Tristan, Financial Asst 2 Thao Le, Financial Coordinator II | Suqing Li, DBA |
| 5 | Monitoring credit extended. | Suqing Li, DBA | Cristina Milligan, Asst. VP for Res. Adm |
| 6 | Approving write-offs. | University of Houston | |
| NEGATIVE BALANCES | | | |
| 1 | Ensuring that all fund groups for each Dept ID have positive fund equity at year-end. | Suqing Li, DBA | Cristina Milligan, Asst. VP for Res. Adm |
| 2 | Ensuring that research expenditures are covered by funds from sponsors. | Cost Center Managers, Suqing Li, DBA | Cristina Milligan, Asst. VP for Res. Adm |
| DEPA | RTMENTAL COMPUTING | | |
| 1 | Management of the departments' information technology resources. | Brion Jacobs, System Administrator 1 | |
| 2 | Ensuring that critical data back up occurs. | Brion Jacobs, System Administrator 1 | |
| 3 | Ensuring that procedures such as password controls are followed. | Brion Jacobs, System Administrator 1 | |
| 4 | Reporting of suspected security violations. | Brion Jacobs, System Administrator 1 | |

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