## Graduate School H0442 Baseline Standards FY 2017

		Responsible Person(s) (Name/Title)	
	ption of Responsibility	Primary (Required)	Secondary (Optional)
DEPAI	RTMENTAL POLICIES & PROCEDURES / BASELINE		
TANI	DARDS		
1	Ensuring the Departmental Policy and Procedures manual is	Bill Kersten, Executive Director	Use Business Managers Survival
	current.	Provost Business Office	Guide; MAPP; supplemented as
2	Updating the Baseline Standards Form.	Sabrina York, Dept. Business	Bill Kersten, Executive Director
	-1	Admin.	Provost Business Office
INAN	ICIAL REPORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.	Vivianne Do, Senior Financial	
1	repaining cost center vermeations.	Analyst	
2	Reviewing cost center verifications.	Student Workers	
2	Reviewing cost center vermeations.	Student Workers	
3	Approving cost center verifications.	Sabrina York, Dept. Business	
3	Approving cost center vernications.	*	
4	Enouring all post contours are varified/annual and the later	Admin.	
4	Ensuring all cost centers are verified/approved on a timely basis.		
		Analyst	
INAN	ICIAL REPORTING - EXPENDITURE TRANSACTIONS		
1	Ensuring valid authorization of purchase documents.	Sabrina York, Dept. Business	
		Admin.	
2	Ensuring the validity of travel and expense reimbursements.	Sabrina York, Dept. Business	
		Admin.	
3	Ensuring that goods and services are received and that timely	Sabrina York, Dept. Business	
	payment is made.	Admin.	
4	Ensuring correct account coding on purchases documents.	Sabrina York, Dept. Business	
		Admin.	
5	Primary contact for inquiries to expenditure transactions.	Sabrina York, Dept. Business	
		Admin.	
PAYR	OLL / HUMAN RESOURCES		
1	Ensuring all bi-weekly reported time and leave are approved	Sabrina York, Dept. Business	Bradley Eanes, Dept. Business
1	before the deadlines set by Payroll, so that the correct hours are	Admin.	Admin.
		Admin.	Adhini.
	recorded and paid on each bi-weekly paycheck.		
2	Ensuring all monthly leave is recorded and approved before the	Vanessa Torres, Dept. Business	Bradley Eanes, Dept. Business
	deadlines set by Payroll.	Admin.	Admin.
3	Reconciling approved reported time and leave (bi-weekly	Sabrina York, Dept. Business	Bradley Eanes, Dept. Business
	employees) and ePARs (monthly employees) to the trial and	Admin.	Admin.
	final payroll verification reports.	Vanessa Torres, Dept. Buiness	
		Admin.	
4	Completing termination clearance procedures.	Sabrina York, Dept. Business	
		Admin.	
5	Ensuring terminated employees are no longer charged to	Sabrina York, Dept. Business	
-	departmental cost centers.	Admin.	
6	Maintaining departmental Personnel files.	Sabrina York, Dept. Business	
0	in a second seco	Admin.	
7	Ensuring valid authorization of new hires.	Sabrina York, Dept. Business	Bill Kersten, Executive Director
1	Ensuring value autionzation of new filles.	_	Provost Business Office
0	Forming and identification of changes in some of the	Admin.	
8	Ensuring valid authorization of changes in compensation rates.	Sabrina York, Dept. Business	Bill Kersten, Executive Director
9		Admin.	Provost Business Office
	Ensuring the accurate input of changes to the HR System.	Sabrina York, Dept. Business	Bill Kersten, Executive Director
		Admin.	Provost Business Office
10	Consistent and efficient responses to inquiries.	Sabrina York, Dept. Business	Bill Kersten, Executive Director
		Admin.	Provost Business Office

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		Responsible Person(s) (Name/Title)	
Descrip	otion of Responsibility	Primary (Required)	Secondary (Optional)
CASH	HANDLING		
1	Collecting cash, checks, etc.	Sabrina York, Dept. Business	
-		Admin.	
2	Reconciling cash, checks, etc. to receipts.	Sabrina York, Dept. Business	
		Admin.	
3	Preparing deposits.	Sabrina York, Dept. Business	
		Admin.	
4	Preparing Journal Entries.	Sabrina York, Dept. Business	
5	Verifying deposits posted correctly in the Finance System.	Admin. Sabrina York, Dept. Business	
5	vernying deposits posted correctly in the Prinance System.	Admin.	
6	Adequacy of physical safeguards of cash receipts and	Sabrina York, Dept. Business	
Ũ	equivalent.	Admin.	
7	Secure deposits via UHDPS to Student Financial Services.	Sabrina York, Dept. Business	
		Admin.	
8	Ensuring deposits are made timely.	Sabrina York, Dept. Business	
		Admin.	
9	Ensuring all employees who handle cash have completed Cash	Bill Kersten, Executive Director	
	Security Procedures or Cash Deposit and Security Procedures	Provost Business Office	
10	training. Updating Cash Handling Procedures as needed.	Sabrina York, Dept. Business	Bill Kersten, Executive Director,
10	Opdating Cash Handling Procedures as needed.	Admin.	Provost Business Office
11	Distribution of Cash Handling Procedures to employees who	Sabrina York, Dept. Business	Bill Kersten, Executive Director
	handle cash.	Admin.	Provost Business Office
12	Consistent and efficient responses to inquiries.	Sabrina York, Dept. Business	Bill Kersten, Executive Director
		Admin.	Provost Business Office
PETTY	CASH		
	T		
1	Preparing petty cash disbursements.	N/A	N/A
		3.7./ A	<b>XT</b> ( A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
3	Ensuring petty cash disbursements are made for only authorized	NI/A	N/A
3	purposes.	N/A	IN/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely.	N/A	N/A
6	Ensuring the petty cash fund is balanced after each	N/A	N/A
G 0 1 177	disbursement.		
CONTE	RACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract	Sabrina York, Dept. Business	Bill Kersten, Executive Director
1	administration policies/procedures.	Admin.	Provost Business Office
PROPE	RTY MANAGEMENT		110V03t Business Office
1	Performing the annual inventory.	Princess Ephriam, Admin.	Sabrina York, Dept. Business Admin.
		Assistant	-
2	Ensuring the annual inventory was completed correctly.	Princess Ephriam, Admin.	Sabrina York, Dept. Business Admin.
		Assistant	
3	Tagging equipment.	Princess Ephriam, Admin.	Sabrina York, Dept. Business Admin.
L .		Assistant	
4	Approving requests for removal of equipment from campus.	Princess Ephriam, Admin.	Sabrina York, Dept. Business Admin.
DISCL	SURE FORMS	Assistant	
DIJCLU	JOURE FURINO		
1	Ensuring all employees with purchasing influence complete the	Bill Kersten, Executive Director	
1	annual Related Party disclosure statement online.	Provost Business Office	
2	Ensuring all full time, benefits eligible, exempt faculty and staff		
	complete the Consulting disclosure statement online.	Provost Business Office	
3	Ensuring that all Principal and Co-Principal Investigators	N/A	N/A
5			
5	complete the annual Conflict of Interest disclosure statement for the Division of Research.		

## Graduate School H0442 Baseline Standards FY 2017

Description of Responsibility     Primary (Required)     Secondary (Optional)       ACCOUNTS RECEIVABLE     N/A     N/A       1     Extending of credit.     N/A     N/A       2     Billing.     N/A     N/A       3     Collection.     N/A     N/A       4     Recording.     N/A     N/A       5     Monitoring credit extended.     N/A     N/A       6     Approving write-offs.     N/A     N/A       NEGATIVE BALANCES     N/A     N/A     N/A       1     Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.     Sabrina York, Dept. Business privost Business Office       2     Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.     N/A     N/A       2     Ensuring that research expenditures are covered by funds from sponsors.     N/A     N/A       DEPARTHENTAL COMPUTING     UH IT Executive Support     UH IT Help Desk       1     Management of the departments' information technology resources.     UH IT Texecutive Support     UH IT Help Desk       2     Ensuring that critical data back up occurs.     UH IT Execut			Responsible Person(s) (Name/Title)	
Image: Instant Strength Note: Strengt Note: Strength Note: Strengt Note: Strength Note: Streng	Description of Responsibility		Primary (Required)	Secondary (Optional)
2   Billing.   N/A   N/A     3   Collection.   N/A   N/A     4   Recording.   N/A   N/A     5   Monitoring credit extended.   N/A   N/A     6   Approving write-offs.   N/A   N/A     8   NIX   N/A   N/A     9   Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.   Sabrina York, Dept. Business Admin.     1   Ensuring that research expenditures are covered by funds from sponsors.   N/A     2   Ensuring that research expenditures are covered by funds from sponsors.   N/A     2   Ensuring that research expenditures are covered by funds from sponsors.   N/A     2   Ensuring that research expenditures are covered by funds from sponsors.   N/A     2   Ensuring that research expenditures are covered by funds from sponsors.   N/A     2   Ensuring that critical data back up occurs.   UH IT Executive Support   UH IT Help Desk     1   Management of the departments' information technology resources.   UH IT Executive Support   UH IT Help Desk     2   Ensuring that procedures such as password controls are followed.   UH Systems   UH Systems <td>ACCO</td> <td>UNTS RECEIVABLE</td> <td></td> <td></td>	ACCO	UNTS RECEIVABLE		
2   Billing.   N/A   N/A     3   Collection.   N/A   N/A     4   Recording.   N/A   N/A     5   Monitoring credit extended.   N/A   N/A     6   Approving write-offs.   N/A   N/A     1   Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.   Sabrina York, Dept. Business Admin.   Bill Kersten, Executive Director Admin.     2   Ensuring that research expenditures are covered by funds from sponsors.   N/A   N/A   N/A     1   Management of the departments' information technology resources.   UH IT Executive Support   UH IT Help Desk     2   Ensuring that procedures such as password controls are followed.   UH Systems   UH Systems	1		NT / A	NT/A
2   Diffing   Diffing     3   Collection.   N/A   N/A     4   Recording.   N/A   N/A     5   Monitoring credit extended.   N/A   N/A     6   Approving write-offs.   N/A   N/A     NEGATIVE BALANCES   N/A   N/A     1   Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.   Sabrina York, Dept. Business     2   Ensuring that research expenditures are covered by funds from sponsors.   N/A     DEPARTMENTAL COMPUTING   UH IT Executive Support   UH IT Help Desk     1   Management of the departments' information technology resources.   UH IT Executive Support   UH IT Help Desk     2   Ensuring that procedures such as password controls are followed.   UH Systems   UH Systems	1	Extending of credit.	IN/A	N/A
4   Recording.   N/A   N/A     5   Monitoring credit extended.   N/A   N/A     6   Approving write-offs.   N/A   N/A     6   Approving write-offs.   N/A   N/A     NEGATIVE BALANCES     1   Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.   Sabrina York, Dept. Business   Bill Kersten, Executive Director Provost Business Office     2   Ensuring that research expenditures are covered by funds from sponsors.   N/A   N/A     DEPARTMENTAL COMPUTING   I   Intersecutive Support   UH IT Help Desk     2   Ensuring that critical data back up occurs.   UH IT Executive Support   UH IT Help Desk     3   Ensuring that procedures such as password controls are followed.   UH Systems   UH Systems	2	Billing.	N/A	N/A
5   Monitoring credit extended.   N/A   N/A     6   Approving write-offs.   N/A   N/A     6   Approving write-offs.   N/A   N/A     1   Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.   Sabrina York, Dept. Business   Bill Kersten, Executive Director Admin.     2   Ensuring that research expenditures are covered by funds from sponsors.   N/A   N/A     0EPARTMENTAL COMPUTING   UH IT Executive Support   UH IT Help Desk     2   Ensuring that critical data back up occurs.   UH IT Executive Support   UH IT Help Desk     3   Ensuring that procedures such as password controls are followed.   UH Systems   IUH Systems	3	Collection.	N/A	N/A
6   Approving write-offs.   N/A   N/A     0   Approving write-offs.   N/A   N/A     NEGATIVE BALANCES   Image: Constraint of the departments of the department of the depa	4	Recording.	N/A	N/A
Image: Note of the departments' information technology resources.   Image: Note of the departments' information technology resources.   Image: Note of the departments of the department of the departments of the department of the departments of the department of	5	Monitoring credit extended.	N/A	N/A
1   Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.   Sabrina York, Dept. Business   Bill Kersten, Executive Director Provost Business Office     2   Ensuring that research expenditures are covered by funds from sponsors.   N/A   N/A     DEPARTMENTAL COMPUTING   UH IT Executive Support   UH IT Help Desk     1   Management of the departments' information technology resources.   UH IT Executive Support   UH IT Help Desk     2   Ensuring that critical data back up occurs.   UH IT Executive Support   UH IT Help Desk     3   Ensuring that procedures such as password controls are followed.   UH Systems   UH Systems	6	Approving write-offs.	N/A	N/A
fund equity at year-end. Admin. Provost Business Office   2 Ensuring that research expenditures are covered by funds from sponsors. N/A N/A   DEPARTMENTAL COMPUTING Image: Compute Structure	NEGA	TIVE BALANCES		
2   Ensuring that research expenditures are covered by funds from sponsors.   N/A   N/A     DEPARTMENTAL COMPUTING   Image: Comparison of the departments' information technology resources.   UH IT Executive Support   UH IT Help Desk     2   Ensuring that critical data back up occurs.   UH IT Executive Support   UH IT Help Desk     3   Ensuring that procedures such as password controls are followed.   UH Systems   UH Systems	1	Ensuring that all fund groups for each Dept ID have positive	Sabrina York, Dept. Business	Bill Kersten, Executive Director
sponsors.   sponsors.     DEPARTMENTAL COMPUTING   Image: the sponsor of the departments' information technology   UH IT Executive Support   UH IT Help Desk     1   Management of the departments' information technology resources.   UH IT Executive Support   UH IT Help Desk     2   Ensuring that critical data back up occurs.   UH IT Executive Support   UH IT Help Desk     3   Ensuring that procedures such as password controls are followed.   UH Systems			Admin.	Provost Business Office
DEPARTMENTAL COMPUTING Image: Image	2		N/A	N/A
resources. Image: Construction of the second seco	DEPA			
3 Ensuring that procedures such as password controls are followed. UH Systems	1		UH IT Executive Support	UH IT Help Desk
followed.	2	Ensuring that critical data back up occurs.	UH IT Executive Support	UH IT Help Desk
	3		UH Systems	
	4		UH IT Executive Support	UH IT Help Desk