

Law Library  
Baseline Standards  
FY 2014

		<b>Responsible Person(s) (Name/Title)</b>	
<b>Description of Responsibility</b>		<b>Primary (Required)</b>	<b>Secondary (Optional)</b>
<b>DEPARTMENTAL POLICIES &amp; PROCEDURES / BASELINE STANDARDS</b>			
1	Ensuring the Departmental Policy and Procedures manual is current.	Spencer Simons, Associate Professor/ Librarian	Lorna Marsh, Administrative Coordinator
2	Updating the Baseline Standards Form.	Spencer Simons, Associate Professor/ Librarian	MyBao Nguyen, Director College Business Operations
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
2	Reviewing cost center verifications.	Spencer Simons, Associate Professor/ Librarian	MyBao Nguyen, Director College Business Operations
3	Approving cost center verifications.	Spencer Simons, Associate Professor/ Librarian	MyBao Nguyen, Director College Business Operations
4	Ensuring all cost centers are verified/approved on a timely basis.	Spencer Simons, Associate Professor/ Librarian	MyBao Nguyen, Director College Business Operations
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Spencer Simons, Associate Professor/ Librarian	MyBao Nguyen, Director College Business Operations
2	Ensuring the validity of travel and expense reimbursements.	Spencer Simons, Associate Professor/ Librarian	MyBao Nguyen, Director College Business Operations
3	Ensuring that goods and services are received and that timely payment is made.	Spencer Simons, Associate Professor/ Librarian	Marek Waterstone, Senior Associate Librarian
4	Ensuring correct account coding on purchases documents.	Spencer Simons, Associate Professor/ Librarian	Lorna Marsh, Administrative Coordinator
5	Primary contact for inquiries to expenditure transactions.	Spencer Simons, Associate Professor/ Librarian	Lorna Marsh, Administrative Coordinator
<b>PAYROLL / HUMAN RESOURCES</b>			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
2	Reconciling bi-weekly leave accruals to the HR System.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
4	Ensuring all monthly leave is recorded and approved in the HR System.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
5	Reconciling time and effort reports (bi-weekly employees) and ePars (monthly employees) to the trial and final payroll verification reports.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian

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6	Completing termination clearance procedures.	Lorna Marsh, Administrative Coordinator	Mon Yin Lung, Associate Director Law Library
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Lorna Marsh, Administrative Coordinator	N/A
8	Paycheck distribution.	Lorna Marsh, Administrative Coordinator	Mon Yin Lung, Associate Director Law Library
9	Maintaining departmental Personnel files	Lorna Marsh, Administrative Coordinator	Mon Yin Lung, Associate Director Law Library
10	Ensuring valid authorization of new hires.	Lorna Marsh, Administrative Coordinator	Mon Yin Lung, Associate Director Law Library
11	Ensuring valid authorization of changes in compensation rates.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
12	Ensuring the accurate input of changes to the HR System.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
13	Propriety of leave account classification on time records.	Lorna Marsh, Administrative Coordinator	Mon Yin Lung, Associate Director Law Library
14	Consistent and efficient responses to inquiries.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
<b>CASH HANDLING</b>			
1	Collecting cash, checks, etc.	Lorna Marsh, Administrative Coordinator	Helen Boyce, Law Library Manager
2	Reconciling cash, checks, etc. to receipts.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
3	Preparing deposits.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
4	Preparing Journal Entries.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
5	Verifying deposits posted correctly in the Finance System.	Spencer Simons, Associate Professor/ Librarian	N/A
6	Adequacy of physical safeguards.	Spencer Simons, Associate Professor/ Librarian	Lorna Marsh, Administrative Coordinator
7	Transporting deposits to Student Financial Services.	UHPD	N/A
8	Ensuring deposits are made timely.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
10	Updating Cash Handling Procedures as needed.	MyBao Nguyen, Director College Business Operations	N/A

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11	Distribution of Cash Handling Procedures to employees who handle cash.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
11	Consistent and efficient responses to inquiries.	Lorna Marsh, Administrative Coordinator	Spencer Simons, Associate Professor/ Librarian
<b>PETTY CASH</b>			
1	Preparing petty cash disbursements.	N/A	N/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 purposes.	N/A	N/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 disbursement.	N/A	N/A
<b>LONG DISTANCE / CELL PHONE CHARGES</b>			
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 billing date.	N/A	N/A
<b>CONTRACT ADMINISTRATION</b>			
1	Ensuring departmental personnel comply with contract administration policies/procedures	Spencer Simons, Associate Professor/ Librarian	MyBao Nguyen, Director College Business Operations
<b>PROPERTY MANAGEMENT</b>			
1	Performing the annual inventory.	Spencer Simons, Associate Professor/ Librarian	Lorna Marsh, Administrative Coordinator
2	Ensuring the annual inventory was completed correctly.	Spencer Simons, Associate Professor/ Librarian	Lorna Marsh, Administrative Coordinator
3	Tagging equipment.	Spencer Simons, Associate Professor/ Librarian	Lorna Marsh, Administrative Coordinator
4	Approving requests for removal of equipment from campus.	Spencer Simons, Associate Professor/ Librarian	Mon Yin Lung, Associate Director Law Library
<b>DISCLOSURE FORMS</b>			
1	Ensuring all employees with purchasing influence complete a Related Party disclosure statement online.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete a Consulting disclosure statement online.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
<b>ACCOUNTS RECEIVABLE</b>			
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
<b>NEGATIVE BALANCES</b>			

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1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Spencer Simons, Associate Professor/ Librarian	MyBao Nguyen, Director College Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	N/A
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	N/A	N/A
2	Ensuring that critical data back up occurs.	N/A	N/A
3	Ensuring that procedures such as password controls are followed.	N/A	N/A
4	Reporting of suspected security violations.	N/A	N/A