

Law Library - UH Law Center
Baseline Standards
FY 2015

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.	Spencer Simons	Mon Yin Lung
2	Updating the Baseline Standards Form.	Spencer Simons	MyBao Nguyen
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Lorna Marsh	Spencer Simons
2	Reviewing cost center verifications.	Spencer Simons	MyBao Nguyen
3	Approving cost center verifications.	Spencer Simons	MyBao Nguyen
4	Ensuring all cost centers are verified/approved on a timely basis.	Spencer Simons	MyBao Nguyen
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Spencer Simons	MyBao Nguyen
2	Ensuring the validity of travel and expense reimbursements.	Spencer Simons	MyBao Nguyen
3	Ensuring that goods and services are received and that timely payment is made.	Marek Waterstone	Spencer Simons
4	Ensuring correct account coding on purchases documents.	Spencer Simons	Lorna Marsh
5	Primary contact for inquiries to expenditure transactions.	Spencer Simons	Lorna Marsh
PAYROLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	Lorna Marsh	Spencer Simons
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Lorna Marsh	Spencer Simons
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Lorna Marsh	Spencer Simons
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Lorna Marsh	Spencer Simons
5	Reconciling approved reported time and leave (bi-weekly & monthly employees) and ePARs (biweekly & monthly employees) to the trial and final payroll verification reports and off-cycle payrolls	Lorna Marsh	Spencer Simons
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Lorna Marsh	Spencer Simons
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Lorna Marsh	Spencer Simons
8	Maintaining departmental personnel files.	Lorna Marsh	Spencer Simons
9	Consistent and efficient responses to inquiries.	Lorna Marsh	Spencer Simons
10	Hire ePAR's should be processed at least 1 week prior to start date.	Mon Yin Lung	Spencer Simons
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Mon Yin Lung	Spencer Simons

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CASH HANDLING			
1	Collecting cash, checks, etc.	Helen Boyce	Mon Yin Lung
2	Reconciling cash, checks, etc. to receipts.	Mon Yin Lung	Spencer Simons
3	Preparing deposits.	Mon Yin Lung	Spencer Simons
4	Preparing Journal Entries.	Mon Yin Lung	Spencer Simons
5	Verifying deposits posted correctly in the Finance System.	Spencer Simons	MyBao Nguyen
6	Adequacy of physical safeguards of cash receipts and equivalent.	Spencer Simons	Mon Yin Lung
7	Secure deposits via UHDPS to Student Financial Services.	UHPD	N/A
8	Ensuring deposits are made timely.	Mon Yin Lung	Spencer Simons
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Spencer Simons	Mon Yin Lung
10	Updating Cash Handling Procedures as needed.	Spencer Simons	MyBao Nguyen
11	Distribution of Cash Handling Procedures to employees who handle cash.	Spencer Simons	Mon Yin Lung
12	Consistent and efficient responses to inquiries.	Spencer Simons	Mon Yin Lung
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	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Spencer Simons	MyBao Nguyen
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Spencer Simons	Lorna Marsh
2	Ensuring the annual inventory was completed correctly.	Spencer Simons	Lorna Marsh
3	Tagging equipment.	Spencer Simons	Lorna Marsh
4	Approving requests for removal of equipment from campus.	Spencer Simons	MyBao Nguyen
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Spencer Simons	MyBao Nguyen
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Spencer Simons	MyBao Nguyen
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	NA	

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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.	Spencer Simons	MyBao Nguyen
2	Ensuring that research expenditures are covered by funds from sponsors.	NA	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	NA	
2	Ensuring that critical data back up occurs.	NA	
3	Ensuring that procedures such as password controls are followed.	NA	
4	Reporting of suspected security violations.	NA	