

Law Center - H0410
Baseline Standards
FY 2016

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
LAW CENTER POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
2	Updating the Baseline Standards Form.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Edin Panameno, Department Business Administrator	Angela Hazlegrove, Department Business Administrator for HR/Payroll
2	Reviewing cost center verifications.	Kim Vu, Assistant Business Administrator for Finance	Jessica Claiborne, College Business Administrator
3	Approving cost center verifications.	Department Heads & Cost Center Managers	Jessica Claiborne, College Business Administrator
4	Ensuring all cost centers are verified/approved on a timely basis.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Associate Deans & Department Heads	Kim Vu, Assistant Business Administrator for Finance
2	Ensuring the validity of travel and expense reimbursements.	Associate Deans & Department Heads	Kim Vu, Assistant Business Administrator for Finance
3	Ensuring that goods and services are received and that timely payment is made.	Associate Deans & Department Heads	N/A
4	Ensuring correct account coding on purchases documents.	Alicia Tamez, Department Business Administrator for	Guadalupe Ayon, Financial Coordinator 1
5	Primary contact for inquiries to expenditure transactions.	Kim Vu, Assistant Business Administrator for Finance	Jessica Claiborne, College Business Administrator
6	Ensuring access and use of P-Cards and T-Cards are secure.	Cardholders and Custodians	N/A
7	Ensuring P-Card transactions are adequately documented and benefit the university.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
8	Ensuring T-Card transactions are adequately documented and benefit the university.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
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.	Angela Hazlegrove, Department Business Administrator for HR/Payroll	Diana Smith, Assistant Business Administrator for HR/Payroll
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Angela Hazlegrove, Department Business Administrator for HR/Payroll	Diana Smith, Assistant Business Administrator for HR/Payroll
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Department Heads & Coordinators	Diana Smith, Assistant Business Administrator for HR/Payroll
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Angela Hazlegrove, Department Business Administrator for HR/Payroll	Diana Smith, Assistant Business Administrator for HR/Payroll
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.	Angela Hazlegrove, Department Business Administrator for HR/Payroll	Diana Smith, Assistant Business Administrator for HR/Payroll
6	Completing termination ePAR's within 24 hours of termination.	Angela Hazlegrove, Department Business Administrator for HR/Payroll	Diana Smith, Assistant Business Administrator for HR/Payroll
7	Verifying that the eTermination Checklist is completed by all required departments no more than two weeks after termination.	Angela Hazlegrove, Department Business Administrator for HR/Payroll	Diana Smith, Assistant Business Administrator for HR/Payroll
8	Ensuring terminated employees are no longer charged to departmental cost centers.	Diana Smith, Assistant Business Administrator for HR/Payroll	Jessica Claiborne, College Business Administrator
9	Maintaining departmental personnel files.	Angela Hazlegrove, Department Business Administrator for HR/Payroll	Diana Smith, Assistant Business Administrator for HR/Payroll
10	Consistent and efficient responses to inquiries.	Diana Smith, Assistant Business Administrator for HR/Payroll	Jessica Claiborne, College Business Administrator
11	Hire ePAR's should be processed at least 1 week prior to start date.	Diana Smith, Assistant Business Administrator for HR/Payroll	Jessica Claiborne, College Business Administrator
12	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Diana Smith, Assistant Business Administrator for HR/Payroll	Jessica Claiborne, College Business Administrator

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CASH HANDLING			
1	Collecting cash, checks, etc.	Department Coordinators	Department Heads
2	Reconciling cash, checks, etc. to receipts.	Department Coordinators	Department Heads
3	Preparing deposits.	Department Coordinators	Alicia Tamez, Department Business Administrator for Finance
4	Preparing Journal Entries.	Department Coordinators	Alicia Tamez, Department Business Administrator for Finance
5	Verifying deposits posted correctly in the Finance System.	Department Coordinators	Alicia Tamez, Department Business Administrator for Finance
6	Adequacy of physical safeguards of cash receipts and equivalent.	Department Coordinators	Kim Vu, Assistant Business Administrator for Finance
7	Secure deposits via UHDPS to Student Financial Services.	UH Police Department	N/A
8	Ensuring deposits are made timely.	Department Coordinators	Department Heads
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
10	Updating Cash Handling Procedures as needed.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
11	Distribution of Cash Handling Procedures to employees who handle cash.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
12	Consistent and efficient responses to inquiries.	Kim Vu, Assistant Business Administrator for Finance	Jessica Claiborne, College Business Administrator
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
14	Ensuring all access and use of credit card information is secure.	Department Coordinators	Department Heads
PETTY CASH / CHANGE FUNDS			
1	Submitting Annual Reauthorization for Petty Cash/Change Funds.	N/A	N/A
2	Preparing petty cash disbursements.	N/A	N/A
3	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
4	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
5	Approving petty cash disbursements.	N/A	N/A
6	Replenishing the petty cash fund timely.	N/A	N/A
7	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
8	Ensuring the change fund is balanced daily, weekly or monthly.	N/A	N/A
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	J. Scott Smith, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
2	Ensuring the annual inventory was completed correctly.	J. Scott Smith, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
3	Tagging equipment.	J. Scott Smith, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
4	Approving requests for removal of equipment from campus.	J. Scott Smith, Director College IT Support	Chad Kitko, Assistant Manager User Services Support

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual 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 the 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
ACCOUNTS RECEIVABLE			
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			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	Jessica Claiborne, College Business Administrator	MyBao Nguyen, Director College Business Operations
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	J. Scott Smith, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
2	Ensuring that critical data back up occurs.	J. Scott Smith, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
3	Ensuring that procedures such as password controls are followed.	J. Scott Smith, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
4	Reporting of suspected security violations.	J. Scott Smith, Director College IT Support	Chad Kitko, Assistant Manager User Services Support