

Law Library
Baseline Standards
FY 2016

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	MyBao Nguyen
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	Mon Yin Lung
2	Ensuring the validity of travel and expense reimbursements.	Spencer Simons	Mon Yin Lung
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
6	Ensuring access and use of P-Cards and T-Cards are secure.	Spencer Simons	Lorna Marsh
7	Ensuring P-Card transactions are adequately documented and benefit the university.	Spencer Simons	Lorna Marsh
8	Ensuring T-Card transactions are adequately documented and benefit the university.	NA	NA
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.	Lorna Marsh	Spencer Simons
7	Verifying that the eTermination Checklist is completed by all required departments no more than two weeks after termination.	Lorna Marsh	Spencer Simons
8	Ensuring terminated employees are no longer charged to departmental cost centers.	Lorna Marsh	Spencer Simons
9	Maintaining departmental personnel files.	Lorna Marsh	Spencer Simons
10	Consistent and efficient responses to inquiries.	Lorna Marsh	Spencer Simons
11	Hire ePAR's should be processed at least 1 week prior to start date.	Lorna Marsh	Spencer Simons
12	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Spencer Simons	Mon Yin Lung

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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.	Lorna Marsh	Spencer Simons
4	Preparing Journal Entries.	Lorna Marsh	Spencer Simons
5	Verifying deposits posted correctly in the Finance System.	Kim Vu	Jessica Claiborne
6	Adequacy of physical safeguards of cash receipts and equivalent.	Spencer Simons	Mon Yin Lung
7	Secure deposits via UHDPDS to Student Financial Services.	Kim Vu	Jessica Claiborne
8	Ensuring deposits are made timely.	Spencer Simons	Kim Vu
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Spencer Simons	MyBao Nguyen
10	Updating Cash Handling Procedures as needed.	Spencer Simons	Mon Yin Lung
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
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	NA	NA
14	Ensuring all access and use of credit card information is secure.	NA	NA
PETTY CASH / CHANGE FUNDS			
1	Submitting Annual Reauthorization for Petty Cash/Change Funds.	NA	
2	Preparing petty cash disbursements.	NA	
3	Ensuring petty cash disbursements are not for more than \$100.	NA	
4	Ensuring petty cash disbursements are made for only authorized purposes.	NA	
5	Approving petty cash disbursements.	NA	
6	Replenishing the petty cash fund timely.	NA	
7	Ensuring the petty cash fund is balanced after each disbursement.	NA	
8	Ensuring the change fund is balanced daily, weekly or monthly.	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	MyBao Nguyen
3	Tagging equipment.	Lorna Marsh	Spencer Simons
4	Approving requests for removal of equipment from campus.	Spencer Simons	MyBao Nguyen

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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	NA
ACCOUNTS RECEIVABLE			
1	Extending of credit.	Helen Boyce	Spencer Simons
2	Billing.	Helen Boyce	Spencer Simons
3	Collection.	Helen Boyce	Spencer Simons
4	Recording.	Helen Boyce	Spencer Simons
5	Monitoring credit extended.	Helen Boyce	Spencer Simons
6	Approving write-offs.	Spencer Simons	MyBao Nguyen
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	NA
DEPARTMENTAL COMPUTING		(by UHIT Dept)	
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.	Spencer Simons	Mon Yin Lung