Law Center
Baseline Standards
FY 2018

		Responsible Person(s) (Name/Title)	
Description of Responsibility		**Primary (Required)**	**Secondary (Optional)**
DEPARTMENTAL 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.	Vacant Position	Linsey Ho, Financial Coordinator II
2	Reviewing cost center verifications.	Thuan Nguyen, Department Business Administrator	Kaylynn Brooks, Department 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	Thuan Nguyen, Department Business Administrator
2	Ensuring the validity of travel and expense reimbursements.	Associate Deans & Department Heads	Thuan Nguyen, Department Business Administrator
3	Ensuring that goods and services are received and that timely payment is made.	Associate Deans & Department Heads	Thuan Nguyen, Department Business Administrator
4	Ensuring correct account coding on purchases documents.	Vacant Position	Thuan Nguyen, Department Business Administrator
5	Primary contact for inquiries to expenditure transactions.	Vacant Position	Thuan Nguyen, Department Business Administrator
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.	Vacant Position	Diana Smith, Assistant Business Administrator for HR/Payroll
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Vacant Position	Diana Smith, Assistant Business Administrator for HR/Payroll
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Vacant Position	Diana Smith, Assistant Business Administrator for HR/Payroll
4	Completing termination clearance procedures.	Vacant Position	Diana Smith, Assistant Business Administrator for HR/Payroll
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Diana Smith, Assistant Business Administrator for HR/Payroll	Jessica Claiborne, College Business Administrator
6	Maintaining departmental Personnel files.	Vacant Position	Diana Smith, Assistant Business Administrator for HR/Payroll
7	Ensuring valid authorization of new hires.	Vacant Position	Diana Smith, Assistant Business Administrator for HR/Payroll
8	Ensuring valid authorization of changes in compensation rates.	Diana Smith, Assistant Business Administrator for HR/Payroll	Jessica Claiborne, College Business Administrator
9	Ensuring the accurate input of changes to the HR System.	Vacant Position	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

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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	Thuan Nguyen, Department Business Administrator
4	Preparing Journal Entries.	Department Coordinators	Thuan Nguyen, Department Business Administrator
5	Verifying deposits posted correctly in the Finance System.	Department Coordinators	Thuan Nguyen, Department Business Administrator
6	Adequacy of physical safeguards of cash receipts and equivalent.	Department Coordinators	Thuan Nguyen, Department Business Administrator
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.	Vacant Position	Thuan Nguyen, Department Business Administrator
PETTY CASH			
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
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.	Tommy Abraham, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
2	Ensuring the annual inventory was completed correctly.	Tommy Abraham, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
3	Tagging equipment.	Tommy Abraham, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
4	Approving requests for removal of equipment from campus.	Tommy Abraham, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
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.	Thuan Nguyen, Department Business Administrator	Jessica Claiborne, College Business Administrator

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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.	Tommy Abraham, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
2	Ensuring that critical data back up occurs.	Tommy Abraham, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
3	Ensuring that procedures such as password controls are followed.	Tommy Abraham, Director College IT Support	Chad Kitko, Assistant Manager User Services Support
4	Reporting of suspected security violations.	Tommy Abraham, Director College IT Support	Chad Kitko, Assistant Manager User Services Support