

Advancement Operations
Baseline Standards
FY2015

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.	Barbara Newsome, Div Admin	Steven Mueller, Exec Dir Bus Ops
2 Updating the Baseline Standards Form.	Barbara Newsome, Div Admin	Steven Mueller, Exec Dir Bus Ops
FINANCIAL REPORTING - COST CENTER VERIFICATIONS		
1 Preparing cost center verifications.	Thuan Nguyen, DBA	
2 Reviewing cost center verifications.	Barbara Newsome, Div Admin	Steven Mueller, Exec Dir Bus Ops
3 Approving cost center verifications.	Barbara Newsome, Div Admin	Steven Mueller, Exec Dir Bus Ops
4 Ensuring all cost centers are verified/approved on a timely basis.	Barbara Newsome, Div Admin	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS		
1 Ensuring valid authorization of purchase documents.	Barbara Newsome, Div Admin	
2 Ensuring the validity of travel and expense reimbursements.	Barbara Newsome, Div Admin	
3 Ensuring that goods and services are received and that timely payment is made.		
<i>Advancement Services Admin.</i>	Lisa Haywood, Admin Asst	
<i>Advancement Information Services</i>	Henry Hank James, Admin Asst	
<i>Donor & Alumni Records</i>	Henry Hank James, Admin Asst	
<i>Prospect Management & Research</i>	Henry Hank James, Admin Asst	
<i>Stewardship</i>	Lisa Haywood, Admin Asst	
4 Ensuring correct account coding on purchases documents.	Barbara Newsome, Div Admin	
5 Primary contact for inquiries to expenditure transactions.		
<i>Advancement Services Admin.</i>	Henry Hank James, Admin Asst	
<i>Advancement Information Services</i>	Henry Hank James, Admin Asst	
<i>Donor & Alumni Records</i>	Henry Hank James, Admin Asst	
<i>Prospect Management & Research</i>	Henry Hank James, Admin Asst	
<i>Stewardship</i>	Lisa Haywood, Admin Asst	
PAYROLL / HUMAN RESOURCES		
1 Reconciling approved bi-weekly leave requests to time and effort reports.	Thuan Nguyen, DBA	
2 Reconciling bi-weekly leave accruals to the HR System.	Thuan Nguyen, DBA	
3 Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Thuan Nguyen, DBA	
4 Ensuring all monthly leave is recorded and approved in the HR System.	Thuan Nguyen, DBA	
5 Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Thuan Nguyen, DBA	
6 Completing termination clearance procedures.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops
7 Ensuring terminated employees are no longer charged to departmental cost centers.	Thuan Nguyen, DBA	
8 Paycheck distribution.	Thuan Nguyen, DBA	Kimberly Delaney, DBA
9 Maintaining departmental Personnel files.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops
10 Ensuring valid authorization of new hires.	Nicole Broyles, Dir Div Bus Ops	Steven Mueller, Exec Dir Bus Ops
11 Ensuring valid authorization of changes in compensation rates.	Nicole Broyles, Dir Div Bus Ops	Steven Mueller, Exec Dir Bus Ops
12 Ensuring the accurate input of changes to the HR System.	Nicole Broyles, Dir Div Bus Ops	Danette Spencer, ABA
13 Propriety of leave account classification on time records.	Thuan Nguyen, DBA	
14 Consistent and efficient responses to inquiries.	Nicole Broyles, Dir Div Bus Ops	Danette Spencer, ABA

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CASH HANDLING			
1	Collecting cash, checks, etc.		
	<i>Advancement Services Admin.</i>	Henry Hank James, Admin Asst	
	<i>Advancement Information Services</i>	Henry Hank James, Admin Asst	
	<i>Donor & Alumni Records</i>	Henry Hank James, Admin Asst	
	<i>Prospect Management & Research</i>	Henry Hank James, Admin Asst	
	<i>Stewardship</i>	Lisa Haywood, Admin Asst	
2	Reconciling cash, checks, etc. to receipts.	Barbara Newsome, Div Admin	
3	Preparing deposits.		
	<i>Advancement Services Admin.</i>	Henry Hank James, Admin Asst	
	<i>Advancement Information Services</i>	Henry Hank James, Admin Asst	
	<i>Donor & Alumni Records</i>	Henry Hank James, Admin Asst	
	<i>Prospect Management & Research</i>	Henry Hank James, Admin Asst	
	<i>Stewardship</i>	Lisa Haywood, Admin Asst	
4	Preparing Journal Entries.		
	<i>Advancement Services Admin.</i>	Henry Hank James, Admin Asst	
	<i>Advancement Information Services</i>	Henry Hank James, Admin Asst	
	<i>Donor & Alumni Records</i>	Henry Hank James, Admin Asst	
	<i>Prospect Management & Research</i>	Henry Hank James, Admin Asst	
	<i>Stewardship</i>	Lisa Haywood, Admin Asst	
5	Verifying deposits posted correctly in the Finance System.	Barbara Newsome, Div Admin	
6	Adequacy of physical safeguards.	Barbara Newsome, Div Admin	
7	Transporting deposits to Student Financial Services.	UHPD	
8	Ensuring deposits are made timely.		
	<i>Advancement Services Admin.</i>	Henry Hank James, Admin Asst	
	<i>Advancement Information Services</i>	Henry Hank James, Admin Asst	
	<i>Donor & Alumni Records</i>	Henry Hank James, Admin Asst	
	<i>Prospect Management & Research</i>	Henry Hank James, Admin Asst	
	<i>Stewardship</i>	Lisa Haywood, Admin Asst	
	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Barbara Newsome, Div Admin	Steven Mueller, Exec Dir Bus Ops
9	Updating Cash Handling Procedures as needed.	Barbara Newsome, Div Admin	Steven Mueller, Exec Dir Bus Ops
10	Distribution of Cash Handling Procedures to employees who handle cash.	Barbara Newsome, Div Admin	
11	Consistent and efficient responses to inquiries.	Barbara Newsome, Div Admin	
12			
PETTY CASH			
1	Preparing petty cash disbursements.	N/A	
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	
4	Approving petty cash disbursements.	N/A	
5	Replenishing the petty cash fund timely.	N/A	
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	
LONG DISTANCE CHARGES			
1	Manager review of long distance charges for unusual activity.	Thuan Nguyen, DBA	
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	Thuan Nguyen, DBA	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Barbara Newsome, Div Admin	Steven Mueller, Exec Dir Bus Ops
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Paul Chiang, Microsys Analyst 2	Stephen Evans, Mgr Div Info Svcs
2	Ensuring the annual inventory was completed correctly.	Paul Chiang, Microsys Analyst 2	Stephen Evans, Mgr Div Info Svcs
3	Tagging equipment.	Paul Chiang, Microsys Analyst 2	Stephen Evans, Mgr Div Info Svcs
4	Approving requests for removal of equipment from campus.	Stephen Evans, Mgr Div Info Svcs	Steven Mueller, Exec Dir Bus Ops

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Barbara Newsome, Div Admin	Steven Mueller, Exec Dir Bus Ops
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Barbara Newsome, Div Admin	Steven Mueller, Exec Dir Bus Ops
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	N/A	
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	
2	Billing.	N/A	
3	Collection.	N/A	
4	Recording.	N/A	
5	Monitoring credit extended.	N/A	
6	Approving write-offs.	N/A	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Barbara Newsome, Div Admin	
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Stephen Evans, Mgr Div Info Svcs	Steven Mueller, Exec Dir Bus Ops
2	Ensuring that critical data back up occurs.	Paul Chiang, Microsys Analyst 2	Stephen Evans, Mgr Div Info Svcs
3	Ensuring that procedures such as password controls are followed.	Paul Chiang, Microsys Analyst 2	Stephen Evans, Mgr Div Info Svcs
4	Reporting of suspected security violations.	All Staff	