

College of Liberal Arts and Social Sciences Dean's Office
Baseline Standards FY 2013

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.	Exec. Director College Business Operations (Andrea Short)	Asst CBA Finance (Isaac Davis)
2	Updating the Baseline Standards Form.	Asst CBA Finance (Isaac Davis)	Exec. Director College Business Operations (Andrea Short)
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Asst CBA Finance (Isaac Davis)	College Business Administrator (Mary Duncan)
2	Reviewing cost center verifications.	Asst CBA Finance (Isaac Davis)	College Business Administrator (Mary Duncan)
3	Approving cost center verifications.	Exec. Director College Business Operations (Andrea Short)	College Business Administrator (Mary Duncan)
4	Ensuring all cost centers are verified/approved on a timely basis.	Asst CBA Finance (Isaac Davis)	Exec. Director College Business Operations (Andrea Short)
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Asst CBA Finance (Isaac Davis)	Exec. Director College Business Operations (Andrea Short)
2	Ensuring the validity of travel and expense reimbursements.	Asst CBA Finance (Isaac Davis)	Exec. Director College Business Operations (Andrea Short)
3	Ensuring that goods and services are received and that timely payment is made.	Administrative Coord (Cathy Medina)	
4	Ensuring correct account coding on purchases documents.	Asst CBA Finance (Isaac Davis)	
5	Primary contact for inquiries to expenditure transactions.	Asst CBA Finance (Isaac Davis)	College Business Administrator (Mary Duncan)
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Financial Asst II (Brenda Ramirez)	
2	Reconciling bi-weekly leave accruals to the HR System.	Financial Asst II (Brenda Ramirez)	College Business Administrator (Mary Duncan)
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Financial Asst II (Brenda Ramirez)	College Business Administrator (Mary Duncan)
4	Ensuring all monthly leave is recorded and approved in the HR System.	College Business Administrator (Mary Duncan)	Financial Asst II (Brenda Ramirez)
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Financial Asst II (Brenda Ramirez)	College Business Administrator (Mary Duncan)
6	Completing termination clearance procedures.	Administrative Coord (Cathy Medina)	College Business Administrator (Mary Duncan)
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Asst CBA Finance (Isaac Davis)	College Business Administrator (Mary Duncan)
8	Paycheck distribution.	Administrative Coord (Cathy Medina)	College Business Administrator (Mary Duncan)
9	Maintaining departmental Personnel files.	College Business Administrator (Mary Duncan)	Exec. Director College Business Operations (Andrea Short)
10	Ensuring valid authorization of new hires.	College Business Administrator (Mary Duncan)	Exec. Director College Business Operations (Andrea Short)
11	Ensuring valid authorization of changes in compensation rates.	College Business Administrator (Mary Duncan)	Asst CBA Finance (Isaac Davis)
12	Ensuring the accurate input of changes to the HR System.	College Business Administrator (Mary Duncan)	Exec. Director College Business Operations (Andrea Short)
13	Propriety of leave account classification on time records.	College Business Administrator (Mary Duncan)	Exec. Director College Business Operations (Andrea Short)
14	Consistent and efficient responses to inquiries.	College Business Administrator (Mary Duncan)	Exec. Director College Business Operations (Andrea Short)
CASH HANDLING			

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	Primary (Required)	Secondary (Optional)
1 Collecting cash, checks, etc.	Administrative Coord (Cathy Medina)	Asst CBA Finance (Isaac Davis)
2 Reconciling cash, checks, etc. to receipts.	Asst CBA Finance (Isaac Davis)	
3 Preparing deposits.	Asst CBA Finance (Isaac Davis)	
4 Preparing Journal Entries.	Asst CBA Finance (Isaac Davis)	College Business Administrator (Mary Duncan)
5 Verifying deposits posted correctly in the Finance System.	Asst CBA Finance (Isaac Davis)	
6 Adequacy of physical safeguards.	College Business Administrator (Mary Duncan)	Asst CBA Finance (Isaac Davis)
7 Transporting deposits to Student Financial Services.	UH Police	
8 Ensuring deposits are made timely.	Asst CBA Finance (Isaac Davis)	College Business Administrator (Mary Duncan)
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	College Business Administrator (Mary Duncan)	Asst CBA Finance (Isaac Davis)
10 Updating Cash Handling Procedures as needed.	Asst CBA Finance (Isaac Davis)	Exec. Director College Business Operations (Andrea Short)
11 Distribution of Cash Handling Procedures to employees who handle cash.	Asst CBA Finance (Isaac Davis)	
12 Consistent and efficient responses to inquiries.	Asst CBA Finance (Isaac Davis)	College Business Administrator (Mary Duncan)
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.	Administrative Coord (Cathy Medina)	Asst CBA Finance (Isaac Davis)
2 Ensuring personal calls are reimbursed within 10 days from the billing date.	Administrative Coord (Cathy Medina)	Asst CBA Finance (Isaac Davis)
CONTRACT ADMINISTRATION		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Exec. Director College Business Operations (Andrea Short)	Asst CBA Finance (Isaac Davis)
PROPERTY MANAGEMENT		
1 Performing the annual inventory.	College/Division IT Manager (Frank Houston)	Exec. Director College Business Operations (Andrea Short)
2 Ensuring the annual inventory was completed correctly.	College/Division IT Manager (Frank Houston)	
3 Tagging equipment.	College/Division IT Manager (Frank Houston)	
4 Approving requests for removal of equipment from campus.	College/Division IT Manager (Frank Houston)	
DISCLOSURE FORMS		

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Asst CBA Finance (Isaac Davis)	Exec. Director College Business Operations (Andrea Short)
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Asst CBA Finance (Isaac Davis)	Exec. Director College Business Operations (Andrea Short)
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Asst CBA Finance (Isaac Davis)	Exec. Director College Business Operations (Andrea Short)
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.	Exec. Director College Business Operations (Andrea Short)	Asst CBA Finance (Isaac Davis)
2	Ensuring that research expenditures are covered by funds from sponsors.	Asst CBA Finance (Isaac Davis)	Exec. Director College Business Operations (Andrea Short)
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	College/Division IT Manager (Frank Houston)	Exec. Director College Business Operations (Andrea Short)
2	Ensuring that critical data back up occurs.	College/Division IT Manager (Frank Houston)	Exec. Director College Business Operations (Andrea Short)
3	Ensuring that procedures such as password controls are followed.	College/Division IT Manager (Frank Houston)	Exec. Director College Business Operations (Andrea Short)
4	Reporting of suspected security violations.	College/Division IT Manager (Frank Houston)	Exec. Director College Business Operations (Andrea Short)