Cynthia Woods Mitchell Center for the Arts
Baseline Standards
FY2013

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

	Description of Responsibility	Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
1	Collecting cash, checks, etc.	Nicole Laurent/ Comm Dir	Karen Farber/Dir
2	Reconciling cash, checks, etc. to receipts.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
3	Preparing deposits.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
4	Preparing Journal Entries.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
5	Verifying deposits posted correctly in the Finance System.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
6	Adequacy of physical safeguards.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
7	Transporting deposits to Student Financial Services.	UH Police	UH Police
8	Ensuring deposits are made timely.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
10	Updating Cash Handling Procedures as needed.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
11	Distribution of Cash Handling Procedures to employees who handle cash.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
12	Consistent and efficient responses to inquiries.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
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 / CELL PHONE CHARGES			
1	Forwarding employees their long distance and cell phone charge reports for verification.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
2	Ensuring employees review their long distance and/or cell phone charge reports.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
3	Ensuring personal calls are reimbursed within 10 days from the billing date.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Connie Barr/DBA	Andrea Short/ Exec Dir, CBO
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Connie Barr/DBA	Frank Houston/IT
2	Ensuring the annual inventory was completed correctly.	Connie Barr/DBA	Frank Houston/IT
3	Tagging equipment.	Connie Barr/DBA	Frank Houston/IT
4	Approving requests for removal of equipment from campus.	Connie Barr/DBA	Frank Houston/IT

Submitted:

	Description of Responsibility	Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
	DISCLOSURE FORMS		
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
	ACCOUNTS RECEIVABLE		
1	Extending of credit.	NA	
2		NA	
3	Collection.	NA	
4	Recording.	NA	
5	Monitoring credit extended.	NA	
6	Approving write-offs.	NA	
	NEGATIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
2	Ensuring that research expenditures are covered by funds from sponsors.	Connie Barr/DBA	Isaac Davis, DBA, CLASS
	DEPARTMENTAL COMPUTING		
1	Management of the departments' information technology resources.	Frank Houston/IT	IT
2	Ensuring that critical data back up occurs.	Frank Houston/IT	IT
3	Ensuring that procedures such as password controls are followed.	Frank Houston/IT	IT
4	Reporting of suspected security violations.	Connie Barr/DBA	Frank Houston/IT