

English Department  
Baseline Standards FY 2013

| Description of Responsibility                                      | Responsible Person(s) (Name/Title)   |   |                        |
|--|--|---|------------------------|
|  | Primary (Required)   | Secondary (Optional)  |                        |
| <b>DEPARTMENTAL POLICIES &amp; PROCEDURES / BASELINE STANDARDS</b> |  |   |                        |
| 1  | Ensuring the Departmental Policy and Procedures manual is current.   | Carol Barr, Asst. Dir./Joy Tesh, LCC Director/Kathy Smathers, CWP Asst. Director                      |                        |
| 2  | Updating the Baseline Standards Form.  | Carol Barr, Asst. Dir.  | Wyman Herendeen, Chair |
| <b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>             |  |   |                        |
| 1  | Preparing cost center verifications.   | Maira Artola, Financial Asst., Tiffany Le, LCC Financial Coordinator, Kathy Smathers, Asst. Dir., CWP |                        |
| 2  | Reviewing cost center verifications.   | Carol Barr, Asst. Dir./Joy Tesh, LCC Director   | Wyman Herendeen, Chair |
| 3  | Approving cost center verifications.   | Carol Barr, Asst. Dir.  | Wyman Herendeen, Chair |
| 4  | Ensuring all cost centers are verified/approved on a timely basis.   | Carol Barr, Asst. Dir./Joy Tesh, LCC Director/Kathy Smathers, CWP Asst. Director                      | Wyman Herendeen, Chair |
| <b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>              |  |   |                        |
| 1  | Ensuring valid authorization of purchase documents.  | Carol Barr, Asst. Dir./Joy Tesh, LCC Director   | Wyman Herendeen, Chair |
| 2  | Ensuring the validity of travel and expense reimbursements.  | Carol Barr, Asst. Dir./Joy Tesh, LCC Director/Kathy Smathers, CWP Asst. Director                      | Wyman Herendeen, Chair |
| 3  | Ensuring that goods and services are received and that timely payment is made.   | Carol Barr, Asst. Dir./Joy Tesh, LCC Director/Kathy Smathers, CWP Asst. Director                      |                        |
| 4  | Ensuring correct account coding on purchases documents.  | Carol Barr, Asst. Dir./Tiffany Le, Financial Coordinator, LCC/Kathy Smathers, CWP Asst. Director      |                        |
| 5  | Primary contact for inquiries to expenditure transactions.   | Carol Barr, Asst. Dir./Tiffany Le, Financial Coordinator, LCC/Kathy Smathers, CWP Asst. Director      |                        |
| <b>PAYROLL / HUMAN RESOURCES</b>                                   |  |   |                        |
| 1  | Reconciling approved bi-weekly leave requests to time and effort reports.  | Maira Artola, Financial Asst./Tiffany Le, LCC Fin. Coordinator  |                        |
| 2  | Reconciling bi-weekly leave accruals to the HR System.   | Maira Artola, Financial Asst./Tiffany Le, LCC Fin. Coordinator  |                        |
| 3  | Ensuring all bi-weekly time and effort reports are submitted to Payroll.   | Maira Artola, Financial Asst.   | Carol Barr, Asst. Dir. |
| 4  | Ensuring all monthly leave is recorded and approved in the HR System.  | Carol Barr, Asst. Dir.  |                        |
| 5  | Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports. | Maira Artola, Financial Asst., Carol Barr, Asst. Director   | Carol Barr, Asst. Dir. |
| 6  | Completing termination clearance procedures.   | Maira Artola, Financial Asst./Tiffany Le, Financial Coordinator, LCC                                  | Carol Barr, Asst. Dir. |
| 7  | Ensuring terminated employees are no longer charged to departmental cost centers.  | Maira Artola, Financial Asst.   | Carol Barr, Asst. Dir. |
| 8  | Paycheck distribution.   | Maira Artola, Financial Asst.   | Carol Barr, Asst. Dir. |
| 9  | Maintaining departmental Personnel files.  | Carol Barr, Asst. Dir./Joy Tesh, LCC Director   |                        |
| 10   | Ensuring valid authorization of new hires.   | Carol Barr, Asst. Dir.  |                        |
| 11   | Ensuring valid authorization of changes in compensation rates.   | Carol Barr, Asst. Dir.  |                        |
| 12   | Ensuring the accurate input of changes to the HR System.   | Maira Artola, Financial Asst.   | Carol Barr, Asst. Dir. |
| 13   | Propriety of leave account classification on time records.   | Maira Artola, Financial Asst.   | Carol Barr, Asst. Dir. |
| 14   | Consistent and efficient responses to inquiries.   | Maira Artola, Financial Asst.   | Carol Barr, Asst. Dir. |

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| <b>CASH HANDLING</b>                      |  |   |                               |
| 1   | Collecting cash, checks, etc.  | Maira Artola, Financial Asst./Tiffany Le, Financial Coordinator, LCC/Shatera Anderson, CWP Office Coordinator |                               |
| 2   | Reconciling cash, checks, etc. to receipts.  | Carol Barr, B/Joy Tesh, LCC Director/Kathy Smathers, CWP Asst. Director                                       |                               |
| 3   | Preparing deposits.  | Maira Artola, Financial Asst./Tiffany Le, Financial Coordinator, Kathy Smathers, CWP Asst. Director           |                               |
| 4   | Preparing Journal Entries.   | Maira Artola, Financial Asst./Tiffany Le, Financial Coordinator, Kathy Smathers, CWP Asst. Director           |                               |
| 5   | Verifying deposits posted correctly in the Finance System.   | Maira Artola, Financial Asst./Tiffany Le, Financial Coordinator, Kathy Smathers, CWP Asst. Director           | Carol Barr, Asst. Dir.        |
| 6   | Adequacy of physical safeguards.   | Carol Barr, Asst. Dir./Joy Tesh, LCC Director   |                               |
| 7   | Transporting deposits to Student Financial Services.   | UH Police Dept.   |                               |
| 8   | Ensuring deposits are made timely.   | Maira Artola, Financial Asst./Tiffany Le Financial Coordinator/Kathy Smathers, CWP Asst. Director             | Carol Barr, Asst. Dir.        |
| 9   | Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training. | Carol Barr, Asst. Dir.  | Wyman Herendeen, Chair        |
| 10  | Updating Cash Handling Procedures as needed.   | Carol Barr, Asst. Dir./Joy Tesh, Director, LCC/Kathy Smathers, Asst. Director, CWP                            |                               |
| 11  | Distribution of Cash Handling Procedures to employees who handle cash.   | Carol Barr, Asst. Dir.  |                               |
| 12  | Consistent and efficient responses to inquiries.   | Carol Barr, Asst. Dir./Joy Tesh, Director, LCC  |                               |
| <b>PETTY CASH</b>                         |  |   |                               |
| 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   |                               |
| <b>LONG DISTANCE / CELL PHONE CHARGES</b> |  |   |                               |
| 1   | Forwarding employees their long distance and cell phone charge reports for verification.   | Jessica Torres, Advising Asst./Tiffany Le, Financial Coordinator, LCC   | Maira Artola, Financial Asst. |
| 2   | Ensuring employees review their long distance and/or cell phone charge reports.  | Jessica Torres, Advising Asst./Tiffany Le, Financial Coordinator, LCC   | Maira Artola, Financial Asst. |
| 3   | Ensuring personal calls are reimbursed within 10 days from the billing date.   | Carol Barr, Asst. Dir.  |                               |
| <b>CONTRACT ADMINISTRATION</b>            |  |   |                               |
| 1   | Ensuring departmental personnel comply with contract administration policies/procedures.   | Carol Barr, Asst. Dir.  | Wyman Herendeen, Chair        |
| <b>PROPERTY MANAGEMENT</b>                |  |   |                               |
| 1   | Performing the annual inventory.   | Maira Artola, Financial Asst./George Barr, User Services Specialist   | Carol Barr, Asst. Dir.        |
| 2   | Ensuring the annual inventory was completed correctly.   | Carol Barr, Asst. Dir.  | Wyman Herendeen, Chair        |
| 3   | Tagging equipment.   | George Barr, User Services Specialist   |                               |
| 4   | Approving requests for removal of equipment from campus.   | Carol Barr, Asst. Dir.  | Wyman Herendeen, Chair        |

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| <b>DISCLOSURE FORMS</b>       |  |                                       |                        |
| 1                             | Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.  | Carol Barr, Asst. Dir.                | Wyman Herendeen, Chair |
| 2                             | Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.                               | Carol Barr, Asst. Dir.                | Wyman Herendeen, Chair |
| 3                             | Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research. | Carol Barr, Asst. Dir.                | Wyman Herendeen, Chair |
| <b>ACCOUNTS RECEIVABLE</b>    |  |                                       |                        |
| 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                                   |                        |
| <b>NEGATIVE BALANCES</b>      |  |                                       |                        |
| 1                             | Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.  | Carol Barr, Asst. Dir.                | Wyman Herendeen, Chair |
| 2                             | Ensuring that research expenditures are covered by funds from sponsors.  | Carol Barr, Asst. Dir.                | Wyman Herendeen, Chair |
| <b>DEPARTMENTAL COMPUTING</b> |  |                                       |                        |
| 1                             | Management of the departments' information technology resources.   | George Barr, User Services Specialist | Carol Barr, Asst. Dir. |
| 2                             | Ensuring that critical data back up occurs.  | George Barr, User Services Specialist | Carol Barr, Asst. Dir. |
| 3                             | Ensuring that procedures such as password controls are followed.   | George Barr, User Services Specialist | Carol Barr, Asst. Dir. |
| 4                             | Reporting of suspected security violations.  | Carol Barr, Asst. Dir.                |                        |