University Bands Baseline Standards FY 2013

	otion of Responsibility RTMENTAL POLICIES & PROCEDURES / BASELINE	Primary (Required)	Secondary (Optional)
STAND			
	NADDS		
1			
	Ensuring the Departmental Policy and Procedures manual is	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
	current.	Coordinator	Business Adminsitrator
2	Updating the Baseline Standards Form.	Elizabeth A. Shepard/ Dept	
	CIAL DEPONENCE COST CENTED VIDAY CATAVOYS	Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
FINAN	CIAL REPORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.	Elizabeth A. Shepard/ Dept	
		Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
2	Reviewing cost center verifications.	Elizabeth A. Shepard/ Dept	
		Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
3	Approving cost center verifications.	David Bertman/ Director,	Andrea Short/ Exec Dir, College
		University Bands	Business Operations
4	Ensuring all cost centers are verified/approved on a timely	Elizabeth A. Shepard/ Dept	
	basis.	Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
FINAN	CIAL REPORTING - EXPENDITURE TRANSACTIONS		
1	Ensuring valid authorization of purchase documents.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
		Coordinator	Business Adminsitrator
2	Ensuring the validity of travel and expense reimbursements.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
		Coordinator	Business Adminsitrator
3	Ensuring that goods and services are received and that timely	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
	payment is made.	Coordinator	Business Adminsitrator
4	Ensuring correct account coding on purchases documents.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
		Coordinator	Business Adminsitrator
5	Primary contact for inquiries to expenditure transactions.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
		Coordinator	Business Adminsitrator
PAYRO	DLL / HUMAN RESOURCES		
1	Reconciling approved bi-weekly leave requests to time and	Elizabeth A. Shepard/ Dept	Mary Duncan/ College Business
	effort reports.	Business Adminsitrator	Administrator
2	Reconciling bi-weekly leave accruals to the HR System.	Elizabeth A. Shepard/ Dept	Mary Duncan/ College Business
		Business Adminsitrator	Administrator
3	Ensuring all bi-weekly time and effort reports are submitted to	Elizabeth A. Shepard/ Dept	Mary Duncan/ College Business
	Payroll.	Business Adminsitrator	Administrator
4	Ensuring all monthly leave is recorded and approved in the HR	Elizabeth A. Shepard/ Dept	Mary Duncan/ College Business
	System.	Business Adminsitrator	Administrator
5	Reconciling time and effort reports (bi-weekly employees) and		
	ePARs (monthly employees) to the trial and final payroll	Elizabeth A. Shepard/ Dept	Mary Duncan/ College Business
	verification reports.	Business Adminsitrator	Administrator
6	Completing termination clearance procedures.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
		Coordinator	Business Adminsitrator
7	Ensuring terminated employees are no longer charged to	Elizabeth A. Shepard/ Dept	
	departmental cost centers.	Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
8	Paycheck distribution.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
	10.000	Coordinator	Business Adminsitrator
9	Maintaining departmental Personnel files.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
10		Coordinator	Business Adminsitrator
10	Ensuring valid authorization of new hires.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
11	English and desired and desire	Coordinator	Business Adminsitrator
	Ensuring valid authorization of changes in compensation rates.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
12	Enqueing the accurate input of shapes to the IID Courter	Coordinator Corol Risinger/ Office	Business Adminsitrator Elizabeth A. Shepard/ Dept
	Ensuring the accurate input of changes to the HR System.	Carol Risinger/ Office	
13	Dromiety of leave account clearification and time and	Coordinator Elizabeth A. Shepard/ Dept	Business Adminsitrator Mary Duncan/ College Business
	Propriety of leave account classification on time records.		
1./	Consistent and afficient responses to inserial-	Business Adminsitrator Elizabeth A. Shepard/ Dept	Administrator
1.4	Consistent and efficient responses to inquiries.		Carol Risinger/ Office
14		Rucinece Administrator	Coordinator
	HANDLING	Business Adminsitrator	Coordinator

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University Bands Baseline Standards FY 2013

			on(s) (Name/Title)
Descrip	tion of Responsibility	Primary (Required)	Secondary (Optional)
1	Collecting cash, checks, etc.	Carol Risinger/ Office	David Bertman/ Director,
	, and the second	Coordinator	University Bands
2	Reconciling cash, checks, etc. to receipts.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
_	3 · · · · · · · · · · · · · · · · · · ·	Coordinator	Business Adminsitrator
3	Preparing deposits.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
3	repaining deposits.	Coordinator	Business Adminsitrator
4	D	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
4	Preparing Journal Entries.	_	
		Coordinator	Business Adminsitrator
5	Verifying deposits posted correctly in the Finance System.	Elizabeth A. Shepard/ Dept	
		Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
6	Adequacy of physical safeguards.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
		Coordinator	Business Adminsitrator
7	Transporting deposits to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Carol Risinger/ Office	Elizabeth A. Shepard/ Dept
J	Zincaring deposits are made timery.	Coordinator	Business Adminsitrator
	Ensuring all employees who handle cash have completed Cash	Coordinator	Carol Risinger/ Office
l		Elizabeth A. Shanand/Dant	
_	Security Procedures or Cash Deposit and Security Procedures	Elizabeth A. Shepard/ Dept	Coordinator
9	training.	Business Adminsitrator	
	Updating Cash Handling Procedures as needed.	Elizabeth A. Shepard/ Dept	Carol Risinger/ Office
10		Business Adminsitrator	Coordinator
	Distribution of Cash Handling Procedures to employees who	Elizabeth A. Shepard/ Dept	Carol Risinger/ Office
11	handle cash.	Business Adminsitrator	Coordinator
	Consistent and efficient responses to inquiries.	Elizabeth A. Shepard/ Dept	Carol Risinger/ Office
12		Business Adminsitrator	Coordinator
PETTY	CASH	Dusiness runnistrutor	Coordinator
	la		
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 I	DISTANCE CHARGES		
1	Manager review of long distance charges for unusual activity.	Elizabeth A. Shepard/ Dept	
_	and the state of t	Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
2	Ensuring personal calls are reimbursed within 10 days from the	Elizabeth A. Shepard/ Dept	Dunio Punto (1951 CD11 1 Hallee)
	billing date.	Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
CONTR	ACT ADMINISTRATION	Business Administrator	Isaac Davis (Asst CBA - Pillance)
	<u> </u>		
1	Ensuring departmental personnel comply with contract	Elizabeth A. Shepard/ Dept	
	administration policies/procedures.	Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
PROPE	RTY MANAGEMENT		
1	Performing the annual inventory.	Edwin Richardson/ CLASS	Carol Risinger/ Office
_	<i>G</i>	Technology Services	Coordinator
2	Ensuring the annual inventory was completed correctly.	Edwin Richardson/ CLASS	Carol Risinger/ Office
	was completed correctly.		Coordinator
2	Tagging agginment	Technology Services	
3	Tagging equipment.	Edwin Richardson/ CLASS	Carol Risinger/ Office
		Technology Services	Coordinator
4	Approving requests for removal of equipment from campus.	Edwin Richardson/ CLASS Technology Services	Carol Risinger/ Office Coordinator
DISCLO	L DSURE FORMS	reciniology services	Coordinator
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		Responsible Person(s) (Name/Title)	
Description of Responsibility		Primary (Required)	Secondary (Optional)
1	Ensuring all employees with purchasing influence complete the	David Bertman/ Director,	Elizabeth A. Shepard/ Dept
	annual Related Party disclosure statement online.	University Bands	Business Adminsitrator
2	Ensuring all full time, benefits eligible, exempt faculty and staff	David Bertman/ Director,	Elizabeth A. Shepard/ Dept
	complete the Consulting disclosure statement online.	University Bands	Business Adminsitrator
3	Ensuring that all Principal and Co-Principal Investigators		
	complete the annual Conflict of Interest disclosure statement for	David Bertman/ Director,	Elizabeth A. Shepard/ Dept
	the Division of Research.	University Bands	Business Adminsitrator
ACCO	UNTS 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	
NEGA'	TIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive	David Bertman/ Director, University Bands	Elizabeth A. Shepard/ Dept Business Adminsitrator
2	fund equity at year-end. Ensuring that research expenditures are covered by funds from	David Bertman/ Director.	Elizabeth A. Shepard/ Dept
		University Bands	Business Adminsitrator
DEPAI	sponsors. RTMENTAL COMPUTING	Oliversity Bands	Business Administrator
1	Management of the departments' information technology	Edwin Richardson/ CLASS	
_	resources.	Technology Services	CLASS IT
2	Ensuring that critical data back up occurs.	Edwin Richardson/ CLASS	
_		Technology Services	CLASS IT
3	Ensuring that procedures such as password controls are	Edwin Richardson/ CLASS	
	followed.	Technology Services	CLASS IT
4	Reporting of suspected security violations.	Carol Risinger/ Office	Edwin Richardson/ CLASS
		Coordinator	Technology Services

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