

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

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1	Collecting cash, checks, etc.	Carol Risinger/ Office Coordinator	David Bertman/ Director, University Bands
2	Reconciling cash, checks, etc. to receipts.	Carol Risinger/ Office Coordinator	Elizabeth A. Shepard/ Dept Business Adminsitrator
3	Preparing deposits.	Carol Risinger/ Office Coordinator	Elizabeth A. Shepard/ Dept Business Adminsitrator
4	Preparing Journal Entries.	Carol Risinger/ Office Coordinator	Elizabeth A. Shepard/ Dept 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 Coordinator	Elizabeth A. Shepard/ Dept Business Adminsitrator
7	Transporting deposits to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Carol Risinger/ Office Coordinator	Elizabeth A. Shepard/ Dept Business Adminsitrator
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Elizabeth A. Shepard/ Dept Business Adminsitrator	Carol Risinger/ Office Coordinator
10	Updating Cash Handling Procedures as needed.	Elizabeth A. Shepard/ Dept Business Adminsitrator	Carol Risinger/ Office Coordinator
11	Distribution of Cash Handling Procedures to employees who handle cash.	Elizabeth A. Shepard/ Dept Business Adminsitrator	Carol Risinger/ Office Coordinator
12	Consistent and efficient responses to inquiries.	Elizabeth A. Shepard/ Dept Business Adminsitrator	Carol Risinger/ Office Coordinator
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.	Elizabeth A. Shepard/ Dept Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	Elizabeth A. Shepard/ Dept Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Elizabeth A. Shepard/ Dept Business Adminsitrator	Isaac Davis (Asst CBA - Finance)
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Edwin Richardson/ CLASS Technology Services	Carol Risinger/ Office Coordinator
2	Ensuring the annual inventory was completed correctly.	Edwin Richardson/ CLASS Technology Services	Carol Risinger/ Office Coordinator
3	Tagging equipment.	Edwin Richardson/ CLASS Technology Services	Carol Risinger/ Office Coordinator
4	Approving requests for removal of equipment from campus.	Edwin Richardson/ CLASS Technology Services	Carol Risinger/ Office Coordinator
DISCLOSURE FORMS			

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	David Bertman/ Director, University Bands	Elizabeth A. Shepard/ Dept Business Adminsitrator
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	David Bertman/ Director, University Bands	Elizabeth A. Shepard/ Dept Business Adminsitrator
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	David Bertman/ Director, University Bands	Elizabeth A. Shepard/ Dept Business Adminsitrator
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.	David Bertman/ Director, University Bands	Elizabeth A. Shepard/ Dept Business Adminsitrator
2	Ensuring that research expenditures are covered by funds from sponsors.	David Bertman/ Director, University Bands	Elizabeth A. Shepard/ Dept Business Adminsitrator
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Edwin Richardson/ CLASS 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 followed.	Edwin Richardson/ CLASS Technology Services	CLASS IT
4	Reporting of suspected security violations.	Carol Risinger/ Office Coordinator	Edwin Richardson/ CLASS Technology Services