Educational Technology and University Outreach H0015 and H0506
Baseline Standards
FY2013

		Responsible Person(s) (Name/Title)	
Description of Responsibility		**Primary (Required)**	**Secondary (Optional)**
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	Maura Capper, Director Provost Business Office	use Business Managers Survival Guide ; MAPP; supplemented as needed
2	Updating the Baseline Standards Form.	Maura Capper, Director Provost Business Office	Paul Roch, Dept. Business Admin.
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Vivianne Do, Financial Analyst 2	
2	Reviewing cost center verifications.	Maura Capper, Director Provost Business Office	
3	Approving cost center verifications.	Maura Capper, Director Provost Business Office (as delegate)	
4	Ensuring all cost centers are verified/approved on a timely basis.	Vivianne Do, Financial Analyst 2	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Paul Roch, Dept. Business Admin.	
2	Ensuring the validity of travel and expense reimbursements.	Paul Roch, Dept. Business Admin.	
3	Ensuring that goods and services are received and that timely payment is made.	Paul Roch, Dept. Business Admin.	
4	Ensuring correct account coding on purchases documents.	Paul Roch, Dept. Business Admin.	
5	Primary contact for inquiries to expenditure transactions.	Paul Roch, Dept. Business Admin.	
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Delores Haynes, Coord, Dept HR/Payroll 2	Paul Roch, Dept. Business Admin.
2	Reconciling bi-weekly leave accruals to the HR System.	Paul Roch, Dept. Business Admin.	
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Delores Haynes, Coord, Dept HR/Payroll 2	Paul Roch, Dept. Business Admin.
4	Ensuring all monthly leave is recorded and approved in the HR System.	Delores Haynes, Coord, Dept HR/Payroll 2	Paul Roch, Dept. Business Admin.
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Delores Haynes, Coord, Dept HR/Payroll 2	Paul Roch, Dept. Business Admin.
6	Completing termination clearance procedures.	Department Supervisors	Paul Roch, Dept. Business Admin.
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Vivianne Do, Financial Analyst 2	Paul Roch, Dept. Business Admin.
8	Paycheck distribution.	NA	
9	Maintaining departmental Personnel files.	Paul Roch, Dept. Business Admin.	Maura Capper, Director Provost Business Office
10	Ensuring valid authorization of new hires.	Paul Roch, Dept. Business Admin.	Maura Capper, Director Provost Business Office
11	Ensuring valid authorization of changes in compensation rates.	Paul Roch, Dept. Business Admin.	Maura Capper, Director Provost Business Office
12	Ensuring the accurate input of changes to the HR System.	Paul Roch, Dept. Business Admin.	Maura Capper, Director Provost Business Office
13	Propriety of leave account classification on time records.	Delores Haynes, Coord, Dept HR/Payroll 2	Paul Roch, Dept. Business Admin.
14	Consistent and efficient responses to inquiries.	Paul Roch, Dept. Business Admin.	Maura Capper, Director Provost Business Office
CASH HANDLING			

Educational Technology and University Outreach H0015 and H0506
Baseline Standards
FY2013

		Responsible Person(s) (Name/Title)	
Description of Responsibility		**Primary (Required)**	**Secondary (Optional)**
1	Collecting cash, checks, etc.	Lorri Karafa Guegel, Financial Coord 2	Heather Hancock, Administrative Coordinator
2	Reconciling cash, checks, etc. to receipts.	Lorri Karafa Guegel, Financial Coord 2	Heather Hancock, Administrative Coordinator
3	Preparing deposits.	Lorri Karafa Guegel, Financial Coord 2	Heather Hancock, Administrative Coordinator
4	Preparing Journal Entries.	Lorri Karafa Guegel, Financial Coord 2	Heather Hancock, Administrative Coordinator
5	Verifying deposits posted correctly in the Finance System.	Paul Roch, Dept. Business Admin.	
6	Adequacy of physical safeguards.	Lorri Karafa Guegel, Financial Coord 2	
7	Transporting deposits to Student Financial Services.	UH Police	
8	Ensuring deposits are made timely.	Paul Roch, Dept. Business Admin.	
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Maura Capper, Director Provost Business Office	
10	Updating Cash Handling Procedures as needed.	Lorri Karafa Guegel, Financial Coord 2	Paul Roch, Dept. Business Admin.
11	Distribution of Cash Handling Procedures to employees who handle cash.	Paul Roch, Dept. Business Admin.	Maura Capper, Director Provost Business Office
12	Consistent and efficient responses to inquiries.	Lorri Karafa Guegel, Financial Coord 2	Paul Roch, Dept. Business Admin.
PETTY CASH			
1	Preparing petty cash disbursements.	NA	
2	Ensuring petty cash disbursements are not for more than $100.	NA	
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	
4	Approving petty cash disbursements.	NA	
5	Replenishing the petty cash fund timely.	NA	
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	
LONG DISTANCE / CELL PHONE CHARGES			
1	Manager review of long distance charges for unusual activity.	Maura Capper, Director Provost Business Office	
3	Ensuring personal calls are reimbursed within 10 days from the billing date.	Maura Capper, Director Provost Business Office	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Paul Roch, Dept. Business Admin.	Maura Capper, Director Provost Business Office
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Anthony Mireles, User Svcs Spec1	David Carter, Web. Developer 3
2	Ensuring the annual inventory was completed correctly.	Anthony Mireles, User Svcs Spec1	David Carter, Web. Developer 3
3	Tagging equipment.	Anthony Mireles, User Svcs Spec1	
4	Approving requests for removal of equipment from campus.	Anthony Mireles, User Svcs Spec1	
DISCLOSURE FORMS			

Educational Technology and University Outreach H0015 and H0506
Baseline Standards
FY2013

		Responsible Person(s) (Name/Title)	
Description of Responsibility		**Primary (Required)**	**Secondary (Optional)**
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Maura Capper, Director Provost Business Office	
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Maura Capper, Director Provost Business Office	
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	NA	
ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	
2	Billing.	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.	Paul Roch, Dept. Business Admin.	Maura Capper, Director Provost Business Office
2	Ensuring that research expenditures are covered by funds from sponsors.	NA	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	David Carter, Web. Developer 3	Anthony Mireles, User Svcs Spec1
2	Ensuring that critical data back up occurs.	David Carter, Web. Developer 3	Anthony Mireles, User Svcs Spec1
3	Ensuring that procedures such as password controls are followed.	UH Systems	David Carter, Web. Developer 3
4	Reporting of suspected security violations.	Anthony Mireles, User Svcs Spec1	David Carter, Web. Developer 3