

C.T. Bauer College of Business
Baseline Standards Form
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.	Sara Brown, College Business Administrator	
2	Updating the Baseline Standards Form.	Sara Brown, College Business Administrator	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Khanh Nguyen, Financial Analyst	Terrolyn Gunter, Asst. Business Administrator
2	Reviewing cost center verifications.	Sara Brown, College Business Administrator	
3	Approving cost center verifications.	Sara Brown, College Business Administrator	
4	Ensuring all cost centers are verified/approved on a timely basis.	Sara Brown, College Business Administrator	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Terrolyn Gunter, Asst. Business Administrator	
2	Ensuring the validity of travel and expense reimbursements.	Terrolyn Gunter, Asst. Business Administrator	
3	Ensuring that goods and services are received and that timely payment is made.	Terrolyn Gunter, Asst. Business Administrator	
4	Ensuring correct account coding on purchases documents.	Terrolyn Gunter, Asst. Business Administrator	
5	Primary contact for inquiries to expenditure transactions.	Terrolyn Gunter, Asst. Business Administrator	
PAYROLL / HUMAN RESOURCES			
1	Reconciling leave records to time and effort reports.	Rebecca Guzman, Asst. Business Administrator	
2	Reconciling leave accruals to the payroll system.	Alejandra Rodriguez, HR/Payroll Coordinator 2	Rebecca Guzman, Asst. Business Administrator
3	Ensuring all time and effort reports are submitted to Payroll.	Alejandra Rodriguez, HR/Payroll Coordinator 2	Rebecca Guzman, Asst. Business Administrator
4	Reconciling time and effort reports to check registers.	Alejandra Rodriguez, HR/Payroll Coordinator 2	Rebecca Guzman, Asst. Business Administrator
5	Completing termination clearance procedures.	Rebecca Guzman, Asst. Business Administrator	
6	Ensuring terminated employees are no longer charged to departmental cost centers.	Rebecca Guzman, Asst. Business Administrator	Khanh Nguyen, Financial Analyst
7	Paycheck distribution.	Rebecca Guzman, Asst. Business Administrator (Staff)	Alejandra Rodriguez, HR/Payroll Coordinator 2
8	Maintaining departmental Personnel files	Rebecca Guzman, Asst. Business Administrator	Alejandra Rodriguez, HR/Payroll Coordinator 2
9	Ensuring valid authorization of new hires.	Rebecca Guzman, Asst. Business Administrator (Staff) Avani Dave, Faculty Affairs Manager (Faculty)	
10	Ensuring valid authorization of changes in compensation rates.	Sara Brown, College Business Administrator	
11	Ensuring the accurate input of changes to the payroll system.	Rebecca Guzman, Asst. Business Administrator	
12	Propriety of leave account classification on time records.	Alejandra Rodriguez, HR/Payroll Coordinator 2	Sara Brown, College Business Administrator
13	Consistent and efficient responses to inquiries.	Sara Brown, College Business Administrator	
CASH HANDLING			

C.T. Bauer College of Business
Baseline Standards Form
FY 2013

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
1	Collecting cash, checks, etc.	Lori Watley, Lucy Hernandez, Kimberly Fernandez, Marie Tighe, Linda Guerrero, Calyon Lewis, LaToya Rogers, Melissa Luna, Fallon Levenson, Anesia Lamont, Carol Smith, Kathy Dominguez,	Terrolyn Gunter, Asst. Business Administrator Sara Brown, College Business Administrator
2	Reconciling cash, checks, etc. to receipts.	Terrolyn Gunter, Asst. Business Administrator	Sara Brown, College Business Administrator
3	Preparing deposits.	Terrolyn Gunter, Asst. Business Administrator	Sara Brown, College Business Administrator
4	Preparing Journal Entries.	Terrolyn Gunter, Asst. Business Administrator	Khanh Nguyen, Financial Analyst
5	Verifying deposits to the financial system.	Khanh Nguyen, Financial Analyst	
6	Adequacy of physical safeguards.	Sara Brown, College Business Administrator	
7	Transporting deposits to Student Financial Services.	UHPD	
8	Ensuring deposits are made timely.	Sara Brown, College Business Administrator	
9	Ensuring "Acknowledgement of Cash Handling Duties" form is completed by all appropriate employees.	Terrolyn Gunter, Asst. Business Administrator	
10	Updating Cash Handling Procedures as needed.	Terrolyn Gunter, Asst. Business Administrator	Sara Brown, College Business Administrator
11	Consistent and efficient responses to inquiries.	Sara Brown, College Business Administrator	
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.	Department Coordinators	
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	Department Coordinators	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Sara Brown, College Business Administrator	
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Department Coordinators and Samir Hanif, IT Purchasing Coordinator	
2	Ensuring the annual inventory was completed correctly.	Sara Brown, College Business Administrator	Samir Hanif, IT Purchasing Coordinator
3	Tagging equipment.	Samir Hanif, IT Purchasing Crd Jeremy Warren, IT Office Crd	Department Coordinators
4	Approving requests for removal of equipment from campus.	Department Chairs and Directors	Sara Brown, College Business Administrator
DISCLOSURE FORMS			

C.T. Bauer College of Business
Baseline Standards Form
FY 2013

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
1	Ensuring all employees with purchasing influence complete a Related Party disclosure statement.	Sara Brown, College Business Administrator	Teri Longacre, Associate Dean Academic Affairs
2	Ensuring all full time, benefits eligible, exempt staff complete a Consulting disclosure statement.	Sara Brown, College Business Administrator	Teri Longacre, Associate Dean Academic Affairs
3	Ensuring that all Principal and Co-Principal Investigators complete a Conflict of Interest disclosure statement.	Sara Brown, College Business Administrator	
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 have positive fund equity at year-end.	Sara Brown, College Business Administrator	Khanh Nguyen, Financial Analyst
2	Ensuring that research expenditures are covered by funds from sponsors.	Sara Brown, College Business Administrator	Khanh Nguyen, Financial Analyst
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Trent Ramsey, Director, Bauer IT	Peter Truong, Mgr, Network Control
2	Ensuring that critical data back up occurs.	Peter Truong, Mgr, Network Control	Brad Baxter, Systems Analyst 1
3	Ensuring that procedures such as password controls are followed.	Peter Truong, Mgr, Network Control	Brad Baxter, Systems Analyst 1
4	Reporting of suspected security violations.	Trent Ramsey, Director, Bauer IT	Peter Truong, Mgr, Network Control

Bauer Baseline Standards

Baseline standards are fundamental operating procedures of the college that must be adhered to in order to ensure solid and ethical business practices. Each year, UH sends out a central checklist of baseline standards so that colleges can identify who is responsible for ensuring that each is followed. This is the current list for FY13: <excel spreadsheet>

In addition to the items above, BCB has committed to additional baseline standards of operations. The following are the comprehensive baseline standards of the Bauer College:

The departmental policy and procedures manual will be kept current.

Baseline standards will be updated whenever necessary.

Every expenditure and revenue will be audited for validity, appropriate fund, and timely payment/deposit.

Revenues will be safe-guarded in a locked drawer or the dean's office safe until they are transported to SFS by UHPD.

Expenses indicating a need for contracts or purchase orders will be handled according to regulations.

Every BCB cost center will be reconciled to the penny every month, including one extra reconciliation at year end close out.

Each BCB cost center will have positive fund equity at year end.

Budget nodes will be monitored weekly and every effort made to keep them in positive status.

All employee assignments will be audited for accuracy of pay, title and duration.

All timesheets, leave accruals and paychecks will be audited for validity, appropriate funding, and timely recording/payment.

Incoming staff will be oriented to the expectations and offerings of the Bauer College.

All staff will receive the necessary training and tools to perform their job duties.

Annual mandatory training will be completed by all employees (staff, faculty and student workers)

All appropriate employees will complete related party disclosure, consulting and conflict of interest, and confidentiality forms annually.

Departing employees will be cleared via a termination checklist.

Internal and external inquiries regarding business matters will be responded to in a consistent and efficient manner.

University equipment will be tagged, tracked and reported accurately.

College computing resources and infrastructure will be monitored, backed-up and secured constantly.