

UH Law Center
Baseline Standards
FY2013

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.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
2	Updating the Baseline Standards Form.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Hsiu-Lin Chiang, Financial Analyst	Kim Vu, Financial Coordinator
2	Reviewing cost center verifications.	TBD, College Business Administrator	Jessica Claiborne, Asst CBA / Diana Smith, Asst. CBA
3	Approving cost center verifications.	Department Heads & Cost Center Managers	TBD, College Business Administrator
4	Ensuring all cost centers are verified/approved on a timely basis.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Associate Deans & Department Heads	Jessica Claiborne, Asst. College Business Administrator-Finance
2	Ensuring the validity of travel and expense reimbursements.	Associate Deans & Department Heads	Jessica Claiborne, Asst. College Business Administrator-Finance
3	Ensuring that goods and services are received and that timely payment is made.	Associate Deans & Department Heads	N/A
4	Ensuring correct account coding on purchases documents.	Kim Vu, Financial Coordinator	Jessica Claiborne, Asst. College Business Administrator-Finance
5	Primary contact for inquiries to expenditure transactions.	Jessica Claiborne, Asst. College Business Administrator-Finance	TBD, College Business Administrator
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Alicia DeOchoa, HR/Payroll Coordinator	Diana Smith, Asst. College Business Administrator - HR
2	Reconciling bi-weekly leave accruals to the HR System.	Alicia DeOchoa, HR/Payroll Coordinator	Diana Smith, Asst. College Business Administrator - HR
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Alicia DeOchoa, HR/Payroll Coordinator	Diana Smith, Asst. College Business Administrator - HR
4	Ensuring all monthly leave is recorded and approved in the HR System.	Alicia DeOchoa, HR/Payroll Coordinator	Diana Smith, Asst. College Business Administrator - HR
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Alicia DeOchoa, HR/Payroll Coordinator	Diana Smith, Asst. College Business Administrator - HR
6	Completing termination clearance procedures.	Alicia DeOchoa, HR/Payroll Coordinator	Diana Smith, Asst. College Business Administrator - HR
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Diana Smith, Asst. College Business Administrator - HR	TBD, College Business Administrator
8	Paycheck distribution.	Alicia DeOchoa, HR/Payroll Coordinator	Diana Smith, Asst. College Business Administrator - HR
9	Maintaining departmental Personnel files.	Alicia DeOchoa, HR/Payroll Coordinator	Diana Smith, Asst. College Business Administrator - HR
10	Ensuring valid authorization of new hires.	Diana Smith, Asst. College Business Administrator - HR	TBD, College Business Administrator
11	Ensuring valid authorization of changes in compensation rates.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
12	Ensuring the accurate input of changes to the HR System.	Diana Smith, Asst. College Business Administrator - HR	TBD, College Business Administrator
13	Propriety of leave account classification on time records.	Diana Smith, Asst. College Business Administrator - HR	TBD, College Business Administrator
14	Consistent and efficient responses to inquiries.	Diana Smith, Asst. College Business Administrator - HR	TBD, College Business Administrator

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CASH HANDLING			
1	Collecting cash, checks, etc.	Department Coordinators	Department Heads
2	Reconciling cash, checks, etc. to receipts.	Department Coordinators	Department Heads
3	Preparing deposits.	Department Coordinators	Kim Vu, Financial Coordinator
4	Preparing Journal Entries.	Department Coordinators	Kim Vu, Financial Coordinator
5	Verifying deposits posted correctly in the Finance System.	Jessica Claiborne, Asst. College Business Administrator-Finance	Jason D. Gregory, Asst. Director College Business Operations
6	Adequacy of physical safeguards.	Department Coordinators	Jessica Claiborne, Asst. College Business Administrator-Finance
7	Transporting deposits to Student Financial Services.	UH Police Department	N/A
8	Ensuring deposits are made timely.	Department Coordinators	Department Heads
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
10	Updating Cash Handling Procedures as needed.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
11	Distribution of Cash Handling Procedures to employees who handle cash.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
12	Consistent and efficient responses to inquiries.	Jessica Claiborne, Asst. College Business Administrator-Finance	TBD, College Business Administrator
PETTY CASH			
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely.	N/A	N/A
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
LONG DISTANCE CHARGES			
1	Manager review of long distance charges for unusual activity.	Cost Center Managers & Department Heads	N/A
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	Ursula Moore, Facilities Office Coordinator	Allen Emerson , Project Manager
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	J. Scott Smith, Asst. Dean - Information Technology	Allen Emerson , Project Manager
2	Ensuring the annual inventory was completed correctly.	J. Scott Smith, Asst. Dean - Information Technology	Allen Emerson , Project Manager
3	Tagging equipment.	J. Scott Smith, Asst. Dean - Information Technology	Allen Emerson , Project Manager
4	Approving requests for removal of equipment from campus.	J. Scott Smith, Asst. Dean - Information Technology	Allen Emerson , Project Manager

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	TBD, College Business Administrator	Mybao Nguyen, Director College Business Operations
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	J. Scott Smith, Asst. Dean - Information Technology	Jorge Perez, College Information Manager
2	Ensuring that critical data back up occurs.	Jorge Perez, College Information Manager	J. Scott Smith, Asst. Dean - Information Technology
3	Ensuring that procedures such as password controls are followed.	Jorge Perez, College Information Manager	J. Scott Smith, Asst. Dean - Information Technology
4	Reporting of suspected security violations.	Jorge Perez, College Information Manager	J. Scott Smith, Asst. Dean - Information Technology