

Law Library
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.	Spencer Simons	Lorna Marsh
2	Updating the Baseline Standards Form.	Spencer Simons	Lorna Marsh
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Lorna Marsh	Spencer Simons
2	Reviewing cost center verifications.	Spencer Simons	Mybao Nguyen
3	Approving cost center verifications.	Spencer Simons	Mybao Nguyen
4	Ensuring all cost centers are verified/approved on a timely basis.	Spencer Simons	Mybao Nguyen
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Spencer Simons	Mybao Nguyen
2	Ensuring the validity of travel and expense reimbursements.	Spencer Simons	Mybao Nguyen
3	Ensuring that goods and services are received and that timely payment is made.	Spencer Simons	Marek Waterstone
4	Ensuring correct account coding on purchases documents.	Spencer Simons	Lorna Marsh
5	Primary contact for inquiries to expenditure transactions.	Spencer Simons	Lorna Marsh
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Lorna Marsh	Spencer Simons
2	Reconciling bi-weekly leave accruals to the HR System.	Lorna Marsh	Spencer Simons
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Lorna Marsh	Spencer Simons
4	Ensuring all monthly leave is recorded and approved in the HR System.	Lorna Marsh	Spencer Simons
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Lorna Marsh	Spencer Simons
6	Completing termination clearance procedures.	Lorna Marsh	Mon Yin Lung
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Lorna Marsh	
8	Paycheck distribution.	Lorna Marsh	Mon Yin Lung
9	Maintaining departmental Personnel files.	Lorna Marsh	Mon Yin Lung
10	Ensuring valid authorization of new hires.	Lorna Marsh	Mon Yin Lung
11	Ensuring valid authorization of changes in compensation rates.	Lorna Marsh	Mon Yin Lung
12	Ensuring the accurate input of changes to the HR System.	Lorna Marsh	Spencer Simons
13	Propriety of leave account classification on time records.	Lorna Marsh	Spencer Simons
14	Consistent and efficient responses to inquiries.	Lorna Marsh	Spencer Simons
CASH HANDLING			

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1 Collecting cash, checks, etc.	Lorna Marsh	Helen Boyce
2 Reconciling cash, checks, etc. to receipts.	Lorna Marsh	Spencer Simons
3 Preparing deposits.	Lorna Marsh	Spencer Simons
4 Preparing Journal Entries.	Lorna Marsh	Spencer Simons
5 Verifying deposits posted correctly in the Finance System.	Spencer Simons	Lorna Marsh
6 Adequacy of physical safeguards.	Spencer Simons	Lorna Marsh
7 Transporting deposits to Student Financial Services.	UHPD	NA
8 Ensuring deposits are made timely.	Lorna Marsh	Spencer Simons
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Lorna Marsh	Spencer Simons
10 Updating Cash Handling Procedures as needed.	Mybao Nguyen	
11 Distribution of Cash Handling Procedures to employees who handle cash.	Lorna Marsh	Spencer Simons
12 Consistent and efficient responses to inquiries.	Lorna Marsh	Spencer Simons
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 CHARGES		
1 Manager review of long distance charges for unusual activity.	Spencer Simons	Lorna Marsh
2 Ensuring personal calls are reimbursed within 10 days from the billing date.	Lorna Marsh	Spencer Simons
CONTRACT ADMINISTRATION		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Spencer Simons	Mybao Nguyen
PROPERTY MANAGEMENT		
1 Performing the annual inventory.	Spencer Simons	Lorna Marsh
2 Ensuring the annual inventory was completed correctly.	Spencer Simons	Lorna Marsh
3 Tagging equipment.	Spencer Simons	Lorna Marsh
4 Approving requests for removal of equipment from campus.	Spencer Simons	Mon Yin Lung
DISCLOSURE FORMS		

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Mybao Nguyen	
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Mybao Nguyen	
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.	Spencer Simons	Mybao Nguyen
2	Ensuring that research expenditures are covered by funds from sponsors.	NA	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	NA	
2	Ensuring that critical data back up occurs.	NA	
3	Ensuring that procedures such as password controls are followed.	NA	
4	Reporting of suspected security violations.	NA	