

VC/VP University Advancement
Baseline Standards
FY 2017

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.	Susanne Johnston, Director, Finance & Business Operations	Steven Mueller, Executive Director, Business Operations
2	Updating the Baseline Standards Form.	Susanne Johnston, Director, Finance & Business Operations	Steven Mueller, Executive Director, Business Operations
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Thuan Nguyen, ABA	Zewuse Ladzekpo, DBA
2	Reviewing cost center verifications.	Susanne Johnston, Director, Finance & Business Operations	
3	Approving cost center verifications.	Susanne Johnston, Director, Finance & Business Operations	
4	Ensuring all cost centers are verified/approved on a timely basis.	Susanne Johnston, Director, Finance & Business Operations	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Thuan Nguyen, ABA	Zewuse Ladzekpo, DBA
2	Ensuring the validity of travel and expense reimbursements.	Thuan Nguyen, ABA	Zewuse Ladzekpo, DBA
3	Ensuring that goods and services are received and that timely payment is made.		
	<i>VC/VP University Advancement</i>	Rachel Pierre, Development Coord II	Vanessa Armstrong, Admin Asst
	<i>Business Services/Central Operations</i>	Anneka Roberson, Admin Asst	Akii Jordan, Program Mgr II
4	Ensuring correct account coding on purchases documents.	Thuan Nguyen, ABA	Zewuse Ladzekpo, DBA
5	Primary contact for inquiries to expenditure transactions.		
	<i>VC/VP University Advancement</i>	Rachel Pierre, Development Coord II	Vanessa Armstrong, Admin Asst
	<i>Business Services/Central Operations</i>	Anneka Roberson, Admin Asst	Akii Jordan, Program Mgr II
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Danette Spencer, ABA	
2	Reconciling bi-weekly leave accruals to the HR System.	Danette Spencer, ABA	
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Danette Spencer, ABA	
4	Ensuring all monthly leave is recorded and approved in the HR System.	Danette Spencer, ABA	
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Danette Spencer, ABA	
6	Completing termination clearance procedures.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Danette Spencer, ABA	Thuan Nguyen, ABA
8	Paycheck distribution.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops
9	Maintaining departmental Personnel files.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops
10	Ensuring valid authorization of new hires.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops
11	Ensuring valid authorization of changes in compensation rates.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops
12	Ensuring the accurate input of changes to the HR System.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops
13	Propriety of leave account classification on time records.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops
14	Consistent and efficient responses to inquiries.	Danette Spencer, ABA	Nicole Broyles, Dir Div Bus Ops

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CASH HANDLING		
1	Collecting cash, checks, etc.	
	<i>VC/VP University Advancement</i>	Ronnie Calhoun, Mgr Gift Processing & Records
	<i>Business Services/Central Operations</i>	Ronnie Calhoun, Mgr Gift Processing & Records
		Donna Smith, Gift Processor II
2	Reconciling cash, checks, etc. to receipts.	Ronnie Calhoun, Mgr Gift Processing & Records
		Linda Lee, Gift Processor II
3	Preparing deposits.	
	<i>VC/VP University Advancement</i>	Ronnie Calhoun, Mgr Gift Processing & Records
	<i>Business Services/Central Operations</i>	Ronnie Calhoun, Mgr Gift Processing & Records
		Donna Smith, Gift Processor II
4	Preparing Journal Entries.	
	<i>VC/VP University Advancement</i>	Donna Smith, Gift Processor II
	<i>Business Services/Central Operations</i>	Donna Smith, Gift Processor II
		Jennifer Quint, Gift Processor II
		Mindy MacArthur, Gift Processor II
5	Verifying deposits posted correctly in the Finance System.	Linda Lee, Gift Processor II
6	Adequacy of physical safeguards.	Donna Smith, Gift Processor II
		Ronnie Calhoun, Mgr Gift Processing & Records
7	Transporting deposits to Student Financial Services.	UHPD
8	Ensuring deposits are made timely.	
	<i>VC/VP University Advancement</i>	Ronnie Calhoun, Mgr Gift Processing & Records
	<i>Business Services/Central Operations</i>	Ronnie Calhoun, Mgr Gift Processing & Records
		Donna Smith, Gift Processor II
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Susanne Johnston, Director, Finance & Business Operations
		Nicole Broyles, Dir Div Bus Ops
10	Updating Cash Handling Procedures as needed.	Sarah Thomas, Project Mgr
		Ronnie Calhoun, Mgr Gift Processing & Records
11	Distribution of Cash Handling Procedures to employees who handle cash.	Ronnie Calhoun, Mgr Gift Processing & Records
		Sarah Thomas, Project Manager
12	Consistent and efficient responses to inquiries.	Ronnie Calhoun, Mgr Gift Processing & Records
		Sarah Thomas, Project Manager
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.	N/A
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	N/A
CONTRACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Akii Jordan, Program Mgr II
		Steven Mueller, Executive Director, Business Operations
PROPERTY MANAGEMENT		
1	Performing the annual inventory.	Akii Jordan, Program Mgr II
		Stephen Evans, Mgr Div Info Svcs
2	Ensuring the annual inventory was completed correctly.	Akii Jordan, Program Mgr II
		Stephen Evans, Mgr Div Info Svcs
3	Tagging equipment.	Paul Chiang, Microsys Analyst 2
		Stephen Evans, Mgr Div Info Svcs
4	Approving requests for removal of equipment from campus.	Akii Jordan, Program Mgr II
		Stephen Evans, Mgr Div Info Svcs
DISCLOSURE FORMS		
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Nicole Broyles, Dir Div Bus Ops
		Danette Spencer, ABA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Nicole Broyles, Dir Div Bus Ops
		Danette Spencer, ABA
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	N/A

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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.	Susanne Johnston, Director, Finance & Business Operations	Thuan Nguyen, ABA
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Stephen Evans, Mgr Div Info Svcs	Steven Mueller, Executive Director, Business Operations
2	Ensuring that critical data back up occurs.	Stephen Evans, Mgr Div Info Svcs	Paul Chiang, Microsys Analyst
3	Ensuring that procedures such as password controls are followed.	Stephen Evans, Mgr Div Info Svcs	Paul Chiang, Microsys Analyst
4	Reporting of suspected security violations.	All Staff	