## English (H0086) Baseline Standards FY 2017

|          |   | Responsible Person(s) (Name/Title)             |   |  |
|----------|---|--|---|--|
|          | tion of Responsibility  | Primary (Required)                             | Secondary (Optional)                    |  |
| DEPAR    | TMENTAL POLICIES & PROCEDURES / BASELINE                              |  |   |  |
| STAND    | ARDS  |  |   |  |
| 1        | Ensuring the Departmental Policy and Procedures manual is             | Carol Barr, Asst. Director                     |   |  |
|          | current.  |  | Andre Cobb, Financial Coordinator       |  |
| 2        | Updating the Baseline Standards Form.                                 | Carol Barr, Asst. Director                     |   |  |
|          |   |  | Andre Cobb, Financial Coordinator       |  |
| FINANO   | CIAL REPORTING - COST CENTER VERIFICATIONS                            |  |   |  |
|          | - · · · · · · · · · · · · · · · · · · ·                               |  |   |  |
| 1        | Preparing cost center verifications.                                  | Andre Cobb, Financial                          |   |  |
| 2        | D   | Coordinator, Tiffany Le, Financial             | Carol Barr, Asst. Director              |  |
| 2        | Reviewing cost center verifications.                                  | Carol Barr, Asst. Director                     | W II I CI :                             |  |
| 2        |   | C IB A D                                       | Wyman Herendeen, Chair                  |  |
| 3        | Approving cost center verifications.                                  | Carol Barr, Asst. Director                     | Laura Carida Cal Dan Admin              |  |
| 4        | Engraine all cost contons one venified/onemoved on a timely basis     | Const Dom Asst Director                        | Lynn Smith, Col. Bus. Admin.            |  |
| 4        | Ensuring all cost centers are verified/approved on a timely basis.    | Carol Barr, Asst. Director                     | Andre Cobb, Financial Coordinator       |  |
| EIN A NO | CIAL REPORTING - EXPENDITURE TRANSACTIONS                             |  | Andre Cobo, Financiai Coordinatoi       |  |
| THAIN    | CIAL REI ORTING - EXI ENDITURE TRANSACTIONS                           |  |   |  |
| 1        | Ensuring valid authorization of purchase documents.                   | Andre Cobb, Financial                          |   |  |
| 1        | Ensuring valid audiorization of purchase documents.                   | Coordinator, Tiffany Le, Financial             | Carol Barr, Asst. Director              |  |
| 2        | Ensuring the validity of travel and expense reimbursements.           | Andre Cobb, Financial                          |   |  |
| _        |   | Coordinator, Tiffany Le, Financial             | Carol Barr, Asst. Director              |  |
| 3        | Ensuring that goods and services are received and that timely         | Andre Cobb, Financial                          | , |  |
|          | payment is made.  | Coordinator, Tiffany Le, Financial             | Carol Barr, Asst. Director              |  |
| 4        | Ensuring correct account coding on purchases documents.               | Andre Cobb, Financial                          |   |  |
|          |   | Coordinator, Tiffany Le, Financial             | Carol Barr, Asst. Director              |  |
| 5        | Primary contact for inquiries to expenditure transactions.            | Andre Cobb, Financial                          |   |  |
|          |   | Coordinator, Tiffany Le, Financial             | Carol Barr, Asst. Director              |  |
| PAYRO    | LL / HUMAN RESOURCES  |  |   |  |
|          |   |  |   |  |
|          | Ensuring all bi-weekly reported time and leave are approved           | Andre Cobb, Financial                          |   |  |
|          | before the deadlines set by Payroll, so that the correct hours are    | Coordinator, Tiffany Le, Financial             |   |  |
|          | recorded and paid on each bi-weekly paycheck.                         | Coordinator, LCC                               | Carol Barr, Asst. Director              |  |
| 2        | Ensuring all monthly leave is recorded and approved before the        | Carol Barr, Asst. Director                     |   |  |
|          | deadlines set by Payroll.   |  |   |  |
| 3        | Reconciling approved reported time and leave (bi-weekly               | Carol Barr, Asst. Director                     |   |  |
|          | employees) and ePARs (monthly employees) to the trial and             |  |   |  |
| 4        | final payroll verification reports.                                   | Caral Dama April D' 1 77'00                    | Andre Cobb, Financial Coordinator       |  |
| 4        | Completing termination clearance procedures.                          | Carol Barr, Asst. Director, Tiffany            | Andre Calib Financial Co. Financial Co. |  |
| =        | Ensuring terminated employees are no longer charged to                | Le, Fin. Coord. LCC                            | Andre Cobb, Financial Coordinator       |  |
| 5        |   | Carol Barr, Asst. Director, Tiffany            | Andra Cohb Financial Coordinates        |  |
| 6        | departmental cost centers.  Maintaining departmental Personnel files. | Le, Fin. Coord. LCC Carol Barr, Asst. Director | Andre Cobb, Financial Coordinator       |  |
| U        | ivianitanning departmental i ersonner mes.                            | Caroi Bair, Asst. Difector                     | Andre Cobb, Financial Coordinator       |  |
| 7        | Ensuring valid authorization of new hires.                            | Andre Cobb, Financial                          | Andre Cood, Financial Cooldinator       |  |
| <b>'</b> | Ensuring valid addionzation of flew filles.                           | Coordinator, Tiffany Le, Financial             | Carol Barr Asst Director                |  |
| 8        | Ensuring valid authorization of changes in compensation rates.        | Andre Cobb, Financial                          | Carol Dail, 1105t. Director             |  |
|          | Zand admonization of changes in compensation rates.                   | Coordinator, Tiffany Le, Financial             | Carol Barr, Asst, Director              |  |
| 9        | Ensuring the accurate input of changes to the HR System.              | Andre Cobb, Financial                          |   |  |
|          |   | Coordinator, Tiffany Le, Financial             | Carol Barr, Asst. Director              |  |
| 10       | Consistent and efficient responses to inquiries.                      | Andre Cobb, Financial                          | ,                                       |  |
|          | 1   | Coordinator, Tiffany Le, Financial             | Carol Barr, Asst. Director              |  |

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## English (H0086) Baseline Standards FY 2017

|        |   | •                                  | son(s) (Name/Title)                     |
|--------|---|------------------------------------|---|
|        | tion of Responsibility  | Primary (Required)                 | Secondary (Optional)                    |
| CASH I | HANDLING  |                                    |   |
| 1      | Collecting cash, checks, etc.                                     | Andre Cobb, Financial              |   |
| •      | Concerning cush, checks, etc.                                     | Coordinator, Tiffany Le, Financial | Carol Barr, Asst. Director              |
| 2      | Reconciling cash, checks, etc. to receipts.                       | Andre Cobb, Financial              |   |
|        |   | Coordinator, Tiffany Le, Financial | Carol Barr, Asst. Director              |
| 3      | Preparing deposits.   | Andre Cobb, Financial              |   |
|        |   | Coordinator, Tiffany Le, Financial | Carol Barr, Asst. Director              |
| 4      | Preparing Journal Entries.  | Andre Cobb, Financial              |   |
|        |   | Coordinator, Tiffany Le, Financial | Carol Barr, Asst. Director              |
| 5      | Verifying deposits posted correctly in the Finance System.        | Andre Cobb, Financial              |   |
|        |   | Coordinator, Tiffany Le, Financial |   |
| 6      | Adequacy of physical safeguards of cash receipts and              | Andre Cobb, Financial              | Carol Barr, Asst. Director              |
|        | equivalent.   | Coordinator, Tiffany Le, Financial |   |
| 7      | Secure deposits via UHDPS to Student Financial Services.          | Andre Cobb, Financial              | Carol Barr, Asst. Director              |
|        |   | Coordinator, Tiffany Le, Financial |   |
| 8      | Ensuring deposits are made timely.                                | Andre Cobb, Financial              | G IB A D                                |
| -      |   | Coordinator, Tiffany Le, Financial | Carol Barr, Asst. Director              |
| 9      | Ensuring all employees who handle cash have completed Cash        | Carol Barr, Asst. Director         |   |
|        | Security Procedures or Cash Deposit and Security Procedures       |                                    | Ander Calib Einen dal Canalinatan       |
| 10     | training.   | Caral Dama Acad Discoston          | Andre Cobb, Financial Coordinator       |
| 10     | Updating Cash Handling Procedures as needed.                      | Carol Barr, Asst. Director         | Andre Cobb, Financial Coordinator       |
| 11     | Distribution of Cash Handling Procedures to employees who         | Carol Barr, Asst. Director         | Andre Coob, Financial Coordinator       |
| 11     | handle cash.  | Carol Barr, Asst. Director         | Andre Cobb, Financial Coordinator       |
| 12     | Consistent and efficient responses to inquiries.                  | Carol Barr, Asst. Director         | Andre Cood, Pinanciai Coordinator       |
| 12     | consistent and efficient responses to inquiries.                  | Carol Barr, 713st. Birector        | Andre Cobb, Financial Coordinator       |
| PETTY  | CASH  |                                    | Tindre Cooo, I manetar Coordinator      |
|        |   |                                    |   |
| 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    | N/A                                |   |
|        | purposes.   |                                    |   |
| 4      | Approving petty cash disbursements.                               | N/A                                |   |
|        |   | <b>.</b>                           |   |
| 5      | Replenishing the petty cash fund timely.                          | N/A                                |   |
|        |   | NT/A                               |   |
| 6      | Ensuring the petty cash fund is balanced after each               | N/A                                |   |
| CONTR  | disbursement. ACT ADMINISTRATION                                  |                                    |   |
| CONTR  | ACT ADMINISTRATION  |                                    |   |
| 1      | Ensuring departmental personnel comply with contract              | Carol Barr, Asst. Director         |   |
| 1      | administration policies/procedures.                               | Carol Barr, 713st. Birector        | Wyman Herendeen, Chair                  |
| PROPE  | RTY MANAGEMENT  |                                    | vv y man rierendeen, enan               |
|        |   |                                    |   |
| 1      | Performing the annual inventory.                                  | George Barr, Tec. Spec.            |   |
| _      | <i>G</i>  | g , <b></b>                        | Carol Barr, Asst. Director              |
| 2      | Ensuring the annual inventory was completed correctly.            | Carol Barr, Asst. Director         | , |
|        |   | ·                                  | Wyman Herendeen, Chair                  |
| 3      | Tagging equipment.  | George Barr, Tec. Spec.            |   |
|        |   |                                    | Carol Barr, Asst. Director              |
| 4      | Approving requests for removal of equipment from campus.          | Carol Barr, Asst. Director         |   |
|        |   |                                    | Wyman Herendeen, Chair                  |
| DISCLO | OSURE FORMS   |                                    |   |
|        | In  | g 15 -:                            |   |
| 1      | Ensuring all employees with purchasing influence complete the     | Carol Barr, Asst. Director         | W II . C' .                             |
| -      | annual Related Party disclosure statement online.                 | G 18 4 5                           | Wyman Herendeen, Chair                  |
| 2      |   | Carol Barr, Asst. Director         | Wanna Hanada Ci                         |
| 2      | complete the Consulting disclosure statement online.              | Conel Down Acat Direct             | Wyman Herendeen, Chair                  |
| 3      | Ensuring that all Principal and Co-Principal Investigators        | Carol Barr, Asst. Director         |   |
|        | complete the annual Conflict of Interest disclosure statement for |                                    | Wyman Harandaar, Chair                  |
|        | the Division of Research.   |                                    | Wyman Herendeen, Chair                  |

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## English (H0086) Baseline Standards FY 2017

|                               |  | Responsible Person(s) (Name/Title) |                                   |
|-------------------------------|--|------------------------------------|-----------------------------------|
| Description of Responsibility |  | Primary (Required)                 | Secondary (Optional)              |
| 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. | Carol Barr, Asst. Director         | Wyman Herendeen, Chair            |
| 2                             | Ensuring that research expenditures are covered by funds from sponsors.                | Carol Barr, Asst. Director         | Wyman Herendeen, Chair            |
| DEPAI                         | RTMENTAL COMPUTING   |                                    |                                   |
| 1                             | Management of the departments' information technology resources.                       | George Barr, Tec. Spec.            | Andre Cobb, Financial Coordinator |
| 2                             | Ensuring that critical data back up occurs.  | George Barr, Tec. Spec.            | Andre Cobb, Financial Coordinator |
| 3                             | Ensuring that procedures such as password controls are followed.                       | George Barr, Tec. Spec.            | Carol Barr, Asst. Director        |
| 4                             | Reporting of suspected security violations.  | George Barr, Tec. Spec.            | Carol Barr, Asst. Director        |

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