

Department Name
Baseline Standards
FY 2014

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.	Anja Wells, DBA	Laura Bell, Asst. DBA
2	Updating the Baseline Standards Form.	Anja Wells, DBA	Laura Bell, Asst. DBA
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Smita Ketkar, Asst. DBA	Laura Bell, Asst. DBA
2	Reviewing cost center verifications.	Smita Ketkar, Asst. DBA	Anja Wells, DBA
3	Approving cost center verifications.	Responsible PI	NA
4	Ensuring all cost centers are verified/approved on a timely basis.	Smita Ketkar, Asst. DBA	Laura Bell, Asst. DBA
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Zara Gaitan, Financial Coord 2	
2	Ensuring the validity of travel and expense reimbursements.	Laura Bell, Asst. DBA	
3	Ensuring that goods and services are received and that timely payment is made.	Zara Gaitan, Financial Coord 2	
4	Ensuring correct account coding on purchases documents.	Zara Gaitan, Financial Coord 2	
5	Primary contact for inquiries to expenditure transactions.	Zara Gaitan, Financial Coord 2	
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
2	Reconciling bi-weekly leave accruals to the HR System.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
4	Ensuring all monthly leave is recorded and approved in the HR System.	Anja Wells, DBA	Laura Bell, Asst. DBA
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
6	Completing termination clearance procedures.	Laura Bell, Asst. DBA	Anja Wells, DBA
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Ashley Tran, Admin Coord	Smita Ketkar, Asst. DBA
8	Paycheck distribution.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
9	Maintaining departmental Personnel files.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
10	Ensuring valid authorization of new hires.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
11	Ensuring valid authorization of changes in compensation rates.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
12	Ensuring the accurate input of changes to the HR System.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
13	Propriety of leave account classification on time records.	Anja Wells, DBA	Ashley Tran, Admin Coord
14	Consistent and efficient responses to inquiries.	Ashley Tran, Admin Coord	Vacant, Financial Coord 1
CASH HANDLING			

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1	Collecting cash, checks, etc.	Laura Bell, Asst. DBA	Smita Ketkar, Asst. DBA
2	Reconciling cash, checks, etc. to receipts.	Smita Ketkar, Asst. DBA	Laura Bell, Asst. DBA
3	Preparing deposits.	Smita Ketkar, Asst. DBA	Laura Bell, Asst. DBA
4	Preparing Journal Entries.	Smita Ketkar, Asst. DBA	Laura Bell, Asst. DBA
5	Verifying deposits posted correctly in the Finance System.	Smita Ketkar, Asst. DBA	Laura Bell, Asst. DBA
6	Adequacy of physical safeguards.	Anja Wells, DBA	Laura Bell, Asst. DBA
7	Transporting deposits to Student Financial Services.	Campus Police	
8	Ensuring deposits are made timely.	Laura Bell, Asst. DBA	Anja Wells, DBA
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Anja Wells, DBA	Laura Bell, Asst. DBA
10	Updating Cash Handling Procedures as needed.	Anja Wells, DBA	Laura Bell, Asst. DBA
11	Distribution of Cash Handling Procedures to employees who handle cash.	Anja Wells, DBA	Laura Bell, Asst. DBA
12	Consistent and efficient responses to inquiries.	Smita Ketkar, Asst. DBA	Laura Bell, Asst. DBA
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.	NA	
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	NA	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Laura Bell, Asst. DBA	Anja Wells, DBA
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Zara Gaitan, Financial Coord 2	
2	Ensuring the annual inventory was completed correctly.	Zara Gaitan, Financial Coord 2	
3	Tagging equipment.	Zara Gaitan, Financial Coord 2	
4	Approving requests for removal of equipment from campus.	Anja Wells, DBA	Laura Bell, Asst. DBA
DISCLOSURE FORMS			

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Vacant, Executive Secretary	
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Vacant, Executive Secretary	
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Vacant, Executive Secretary	
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.	Smita Ketkar, Asst. DBA	Anja Wells, DBA
2	Ensuring that research expenditures are covered by funds from sponsors.	Smita Ketkar, Asst. DBA	Anja Wells, DBA
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Jay Krishnan, Systems Admin 3	
2	Ensuring that critical data back up occurs.	Jay Krishnan, Systems Admin 3	
3	Ensuring that procedures such as password controls are followed.	Jay Krishnan, Systems Admin 3	
4	Reporting of suspected security violations.	Jay Krishnan, Systems Admin 3	