

Earth Atmospheric Sciences - H0109
Baseline Standards
FY 2016

		Responsible Person(s) (Name/Title)	
Description of Responsibility		Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	Each staff person is responsible to ensure that their subject expertise is	Anja Wells, DBA
2	Updating the Baseline Standards Form.	Anja Wells, DBA	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Smita Ketkar, Asst. DBA (non-grants); Jennifer Dowell, Financial Coord 1 (grants)	
2	Reviewing cost center verifications.	Anja Wells, DBA	
3	Approving cost center verifications.	Cost Center Manager	When delegated, Anja Wells, DBA
4	Ensuring all cost centers are verified/approved on a timely basis.	Smita Ketkar, Asst. DBA	Anja Wells, DBA
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Lee Ann Carroll, Financial Coord 2	When they are the voucher creators: Ashley Tran, Twana York, Hannah Walker, and Smita Ketkar
2	Ensuring the validity of travel and expense reimbursements.	Laura Bell, Program Manager 2	Hannah Walker, Asst. to the Chair
3	Ensuring that goods and services are received and that timely payment is made.	Alma Myers, Office Asst., (office supplies only) and Lee Ann Carroll, Financial Coord. 2	Smita Ketkar, Asst DBA
4	Ensuring correct account coding on purchases documents.	Lee Ann Carroll, Financial Coord 2, and Alma Myers, Office Asst. (office supplies only)	When they are the voucher creators: Ashley Tran, Twana York, Hannah Walker, and Smita Ketkar
5	Primary contact for inquiries to expenditure transactions.	Lee Ann Carroll, Financial Coord 2 (before posted to PeopleSoft)	Smita Ketkar, Asst. DBA (after posted to PeopleSoft)
6	Ensuring access and use of P-Cards and T-Cards are secure.	Individual T/P-card holders (their own cards only), Dept P-card (Lee Ann Carroll, Financial Coord 2); and multi-user T-cards (Laura Bell, Program Manager 2)	
7	Ensuring P-Card transactions are adequately documented and benefit the university.	Joint effort between individual card holders and Lee Ann Carroll (Financial Coord 2)	Smita Ketkar, Asst DBA, fills in for Lee Ann during absences
8	Ensuring T-Card transactions are adequately documented and benefit the university.	Joint effort between individual card holders and Laura Bell (Program Manager 2)	Smita Ketkar, Asst DBA, fills in for Laura Bell during absences
PAYROLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	Twana York, Admin Coord.	Ashley Tran, Admin Coord.
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Ashley Tran, Admin Coord.	Twana York, Admin Coord.
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Twana York, Admin Coord. (biweekly), and Ashley Tran, Admin Coord. (monthly)	
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Twana York, Admin Coord.	Ashley Tran, Admin Coord.
5	Reconciling approved reported time and leave (bi-weekly & monthly employees) and ePARs (biweekly & monthly employees) to the trial and final payroll verification reports and off-cycle payrolls.	Twana York, Admin Coord. (biweekly), and Ashley Tran, Admin Coord. (monthly)	
6	Completing termination ePAR's within 24 hours of termination.	Twana York, Admin Coord. (biweekly), and Ashley Tran, Admin Coord. (monthly)	
7	Verifying that the eTermination Checklist is completed by all required departments no more than two weeks after termination.	Twana York, Admin Coord. (biweekly), and Ashley Tran, Admin Coord. (monthly)	
8	Ensuring terminated employees are no longer charged to departmental cost centers.	Twana York, Admin Coord. (biweekly), and Ashley Tran, Admin Coord. (monthly)	Smita Ketkar, Asst DBA, does a double-check during reconciliations.
9	Maintaining departmental personnel files.	Twana York, Admin Coord. (biweekly), and Ashley Tran, Admin Coord. (monthly)	
10	Consistent and efficient responses to inquiries.	Twana York, Admin Coord. (biweekly), and Ashley Tran, Admin Coord. (monthly)	
11	Hire ePAR's should be processed at least 1 week prior to start date.	Joint effort between hiring managers and Twana York, Admin Coord. (biweekly) or Ashley Tran, Admin Coord. (monthly)	
12	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Joint effort between managers, individual employees and Twana York, Admin Coord. (biweekly) or Ashley Tran, Admin Coord. (monthly)	

Earth Atmospheric Sciences - H0109
Baseline Standards
FY 2016

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
CASH HANDLING			
1	Collecting cash, checks, etc.	Anja Wells, DBA	Smita Ketkar, Asst. DBA
2	Reconciling cash, checks, etc. to receipts.	Smita Ketkar, Asst. DBA	Twana York, Admin Coord., and Hannah Walker, Asst to the Chair, assist DBA as needed
3	Preparing deposits.	Anja Wells, DBA, (scans check and prints reports)	Smita Ketkar, Asst. DBA
4	Preparing Journal Entries.	Smita Ketkar, Asst. DBA	Anja Wells, DBA
5	Verifying deposits posted correctly in the Finance System.	Smita Ketkar, Asst. DBA	
6	Adequacy of physical safeguards of cash receipts and equivalent.	Anja Wells, DBA	Smita Ketkar, Asst. DBA
7	Secure deposits via UHDPS to Student Financial Services.	NA	NA
8	Ensuring deposits are made timely.	Anja Wells, DBA	Smita Ketkar, Asst. DBA
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Anja Wells, DBA	
10	Updating Cash Handling Procedures as needed.	NSM College	
11	Distribution of Cash Handling Procedures to employees who handle cash.	Anja Wells, DBA	Smita Ketkar, Asst. DBA
12	Consistent and efficient responses to inquiries.	Smita Ketkar, Asst. DBA	Anja Wells, DBA
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	NA	NA
14	Ensuring all access and use of credit card information is secure.	NA	NA
PETTY CASH / CHANGE FUNDS			
1	Submitting Annual Reauthorization for Petty Cash/Change Funds	NA	NA
2	Preparing petty cash disbursements.	NA	NA
3	Ensuring petty cash disbursements are not for more than \$100.	NA	NA
4	Ensuring petty cash disbursements are made for only authorized purposes.	NA	NA
5	Approving petty cash disbursements.	NA	NA
6	Replenishing the petty cash fund timely.	NA	NA
7	Ensuring the petty cash fund is balanced after each disbursement.	NA	NA
8	Ensuring the change fund is balanced daily, weekly or monthly.	NA	NA
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures	Anja Wells, DBA	Smita Ketkar, Asst. DBA
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Joint effort between faculty, staff, supported students, and Lee Ann Carroll, Financial Coord 2, and Alma Myers, Office Asst.	
2	Ensuring the annual inventory was completed correctly.	Lee Ann Carroll, Financial Coord. 2	
3	Tagging equipment.	Lee Ann Carroll, Financial Coord 2	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer Support Analyst (IT equipment)
4	Approving requests for removal of equipment from campus.	Anja Wells, DBA	Smita Ketkar, Asst. DBA

Earth Atmospheric Sciences - H0109
Baseline Standards
FY 2016

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online	Hannah Walker, Asst. to the Chair	Anja Wells, DBA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online	Hannah Walker, Asst. to the Chair	Anja Wells, DBA
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research	Alma Myers, Office Asst.	Anja Wells, DBA
ACCOUNTS RECEIVABLE			
1	Extending of credit.	Service Center Managers	
2	Billing.	Service Center Managers	
3	Collection.	Anja Wells, DBA, and Smita Ketkar, Asst. DBA	
4	Recording.	Smita Ketkar, Asst. DBA	
5	Monitoring credit extended.	Smita Ketkar, Asst DBA, and Service Center Managers	
6	Approving write-offs.	Service Center Managers	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Joint effort between cost center managers and Anja Wells, DBA	Smita Ketkar, Asst. DBA, assists DBA and cost center managers
2	Ensuring that research expenditures are covered by funds from sponsors.	Joint effort between Lee Ann Carroll, Financial Coord 2, and Pis	Jennifer Dowell, Financial Coord 1, and Smita Ketkar, Asst DBA, assist by double-checking is done during reconciliations.
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer Support Analyst	
2	Ensuring that critical data back up occurs.	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer Support Analyst	
3	Ensuring that procedures such as password controls are followed.	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer Support Analyst	
4	Reporting of suspected security violations.	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer Support Analyst	