

Earth Atmospheric Sciences - H0109  
Baseline Standards  
FY 2019

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
<b>DEPARTMENTAL POLICIES &amp; PROCEDURES / BASELINE STANDARDS</b>			
1	Ensuring the Departmental Policy and Procedures manual is current.	Each staff person is responsible to ensure that their	Anja Wells, DBA
2	Updating the Baseline Standards Form.	Anja Wells, DBA	
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
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
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Lee Ann Carroll, Financial Coord 2	When they are the voucher creators: Veronica Beard,
2	Ensuring the validity of travel and expense reimbursements.	Laura Bell, Program Manager 2	Kirene Ramesar, Asst. to the Chair, and Edwina Boateng
3	Ensuring that goods and services are received and that timely payment is made.	Lee Ann Carroll, Financial Coord. 2	Smita Ketkar, Asst DBA
4	Ensuring correct account coding on purchases documents.	Lee Ann Carroll, Financial Coord 2	When they are the voucher creators: Veronica Beard,
5	Primary contact for inquiries to expenditure transactions.	Lee Ann Carroll, Financial Coord 2 (before posted to	Smita Ketkar, Asst. DBA (after posted to PeopleSoft)
<b>PAYROLL / HUMAN RESOURCES</b>			
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	Veronica Beard, Admin Coord., and Michele Hopkis, Admin Coord.	
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Veronica Beard, Admin Coord., and Michele Hopkis, Admin Coord.	
4	Completing termination clearance procedures.	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	Anja Wells, DBA
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	Smita Ketkar, Asst DBA, does a double-check during
6	Maintaining departmental Personnel files.	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	
7	Ensuring valid authorization of new hires.	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	
8	Ensuring valid authorization of changes in compensation rates.	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	
9	Ensuring the accurate input of changes to the HR System.	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	

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10	Consistent and efficient responses to inquiries.	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	
<b>CASH HANDLING</b>			
1	Collecting cash, checks, etc.	Anja Wells, DBA	For deposits, Kirene Ramesar, Assist to the Chair, and for
2	Reconciling cash, checks, etc. to receipts.	For deposits, Kirene Ramesar, Assist to the Chair, and for	Anja Wells, DBA
3	Preparing deposits.	For deposits, Kirene Ramesar, Assist to the Chair, and for	Anja Wells, DBA
4	Preparing Journal Entries.	For deposits, Kirene Ramesar, Assist to the Chair, and for	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	
7	Secure deposits via UHDPS to Student Financial Services.	NA	NA
8	Ensuring deposits are made timely.	For deposits, Kirene Ramesar, Assist to the Chair, and for	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	
10	Updating Cash Handling Procedures as needed.	NSM College	
11	Distribution of Cash Handling Procedures to employees who handle cash.	Anja Wells, DBA	
12	Consistent and efficient responses to inquiries.	Smita Ketkar, Asst. DBA	Anja Wells, DBA
<b>PETTY CASH</b>			
1	Preparing petty cash disbursements.	NA	NA
2	Ensuring petty cash disbursements are not for more than \$100.	NA	NA
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	NA
4	Approving petty cash disbursements.	NA	NA
5	Replenishing the petty cash fund timely.	NA	NA
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	NA
<b>CONTRACT ADMINISTRATION</b>			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Anja Wells, DBA	Smita Ketkar, Asst. DBA
<b>PROPERTY MANAGEMENT</b>			
1	Performing the annual inventory.	Joint effort between faculty, staff, supported students, and	
2	Ensuring the annual inventory was completed correctly.	Lee Ann Carroll, Financial Coord. 2	

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3	Tagging equipment.	Lee Ann Carroll, Financial Coord 2	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer
4	Approving requests for removal of equipment from campus.	Anja Wells, DBA	Smita Ketkar, Asst. DBA
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	Anja Wells, DBA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement	Veronica Beard, Admin Coord., and Michele Hopkis, Admin	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.	DOR has taken on primary responsibility for this.	Jennifer Dowell, Financial Coord may assist DOR with following up as needed.
ACCOUNTS RECEIVABLE			
1	Extending of credit.	Service Center Managers	
2	Billing.	Service Center Managers	
3	Collection.	Anja Wells, DBA, and Lee Ann Carroll, Financial Coord 2	
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
2	Ensuring that research expenditures are covered by funds from sponsors.	Joint effort between Lee Ann Carroll, Financial Coord 2, and	Jennifer Dowell, Financial Coord 1, and Smita Ketkar,
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer	
2	Ensuring that critical data back up occurs.	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer	
3	Ensuring that procedures such as password controls are followed.	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer	
4	Reporting of suspected security violations.	Jay Krishnan, System Admin 3, and Jason Ognosky, Computer	