

Department Name - Department Number  
Baseline Standards  
FY 2016

| 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.  | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| 2  | Updating the Baseline Standards Form.   | Karen James, DBA                   |                             |
| <b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>             |   |                                    |                             |
| 1  | Preparing cost center verifications.  | Karen James, DBA                   |                             |
| 2  | Reviewing cost center verifications.  | Karen James, DBA                   |                             |
| 3  | Approving cost center verifications.  | Barbara Duarte, Exec Dir           |                             |
| 4  | Ensuring all cost centers are verified/approved on a timely basis.  | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| <b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>              |   |                                    |                             |
| 1  | Ensuring valid authorization of purchase documents.   | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| 2  | Ensuring the validity of travel and expense reimbursements.   | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| 3  | Ensuring that goods and services are received and that timely payment is made.  | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| 4  | Ensuring correct account coding on purchases documents.   | Karen James, DBA                   |                             |
| 5  | Primary contact for inquiries to expenditure transactions.  | Karen James, DBA                   |                             |
| 6  | Ensuring access and use of P-Cards and T-Cards are secure.  | Karen James, DBA                   |                             |
| 7  | Ensuring P-Card transactions are adequately documented and benefit the university.  | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| 8  | Ensuring T-Card transactions are adequately documented and benefit the university.  | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| <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 paycheck.                      | N/A                                | N/A                         |
| 2  | Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.   | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| 3  | Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.  | Karen James, DBA                   |                             |
| 4  | Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.   | Karen James, DBA                   |                             |
| 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. | Karen James, DBA                   |                             |
| 6  | Completing termination ePAR's within 24 hours of termination.   | Nancy Palomo/DBA                   | Diane Sylvester/Fin Coord 2 |
| 7  | Verifying that the eTermination Checklist is completed by all required departments no more than two weeks after termination.  | Nancy Palomo/DBA                   | Linda M. Garza/Dir Bus Svcs |
| 8  | Ensuring terminated employees are no longer charged to departmental cost centers.   | Karen James, DBA                   |                             |
| 9  | Maintaining departmental personnel files.   | Karen James, DBA                   | Nancy Palomo/DBA            |
| 10   | Consistent and efficient responses to inquiries.  | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| 11   | Hire ePAR's should be processed at least 1 week prior to start date.  | Nancy Palomo/DBA                   | Diane Sylvester/Fin Coord 2 |
| 12   | Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.  | Karen James, DBA                   | Nancy Palomo/DBA            |

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| <b>CASH HANDLING</b>             |  |                                    |                             |
| 1                                | Collecting cash, checks, etc.  | N/A                                | N/A                         |
| 2                                | Reconciling cash, checks, etc. to receipts.  | N/A                                | N/A                         |
| 3                                | Preparing deposits.  | N/A                                | N/A                         |
| 4                                | Preparing Journal Entries.   | N/A                                | N/A                         |
| 5                                | Verifying deposits posted correctly in the Finance System.   | N/A                                | N/A                         |
| 6                                | Adequacy of physical safeguards of cash receipts and equivalent.   | N/A                                | N/A                         |
| 7                                | Secure deposits via UHDPSS to Student Financial Services.  | N/A                                | N/A                         |
| 8                                | Ensuring deposits are made timely.   | N/A                                | N/A                         |
| 9                                | Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training. | N/A                                | N/A                         |
| 10                               | Updating Cash Handling Procedures as needed.   | N/A                                | N/A                         |
| 11                               | Distribution of Cash Handling Procedures to employees who handle cash.   | N/A                                | N/A                         |
| 12                               | Consistent and efficient responses to inquiries.   | Karen James, DBA                   | Juanita Samuels/DBA         |
| 13                               | Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.          | N/A                                | N/A                         |
| 14                               | Ensuring all access and use of credit card information is secure.  | N/A                                | N/A                         |
| <b>PETTY CASH / CHANGE FUNDS</b> |  |                                    |                             |
| 1                                | Submitting Annual Reauthorization for Petty Cash/Change Funds.   | N/A                                | N/A                         |
| 2                                | Preparing petty cash disbursements.  | N/A                                | N/A                         |
| 3                                | Ensuring petty cash disbursements are not for more than \$100.   | N/A                                | N/A                         |
| 4                                | Ensuring petty cash disbursements are made for only authorized purposes.   | N/A                                | N/A                         |
| 5                                | Approving petty cash disbursements.  | N/A                                | N/A                         |
| 6                                | Replenishing the petty cash fund timely.   | N/A                                | N/A                         |
| 7                                | Ensuring the petty cash fund is balanced after each disbursement.  | N/A                                | N/A                         |
| 8                                | Ensuring the change fund is balanced daily, weekly or monthly.   | N/A                                | N/A                         |
| <b>CONTRACT ADMINISTRATION</b>   |  |                                    |                             |
| 1                                | Ensuring departmental personnel comply with contract administration policies/procedures.   | Luisa Gallegos/Fin Coord 2         | Linda M. Garza/Dir Bus Svcs |
| <b>PROPERTY MANAGEMENT</b>       |  |                                    |                             |
| 1                                | Performing the annual inventory.   | Karen James, DBA                   | Juanita Samuels/DBA         |
| 2                                | Ensuring the annual inventory was completed correctly.   | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |
| 3                                | Tagging equipment.   | Karen James, DBA                   |                             |
| 4                                | Approving requests for removal of equipment from campus.   | Karen James, DBA                   | Barbara Duarte, Exec. Dir   |

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| DISCLOSURE FORMS              |  |                                     |                             |
| 1                             | Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.  | Karen James, DBA                    | Barbara Duarte, Exec. Dir   |
| 2                             | Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.                               | Karen James, DBA                    | Barbara Duarte, Exec. Dir   |
| 3                             | Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research. | N/A                                 |                             |
| ACCOUNTS RECEIVABLE           |  |                                     |                             |
| 1                             | Extending of credit.   | N/A                                 | N/A                         |
| 2                             | Billing.   | N/A                                 | N/A                         |
| 3                             | Collection.  | N/A                                 | N/A                         |
| 4                             | Recording.   | N/A                                 | N/A                         |
| 5                             | Monitoring credit extended.  | N/A                                 | N/A                         |
| 6                             | Approving write-offs.  | N/A                                 | N/A                         |
| NEGATIVE BALANCES             |  |                                     |                             |
| 1                             | Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.  | Barbara Duarte, Exec Dir            | Devi Bala/Exec Dir Bus Svcs |
| 2                             | Ensuring that research expenditures are covered by funds from sponsors.  | N/A                                 |                             |
| DEPARTMENTAL COMPUTING        |  |                                     |                             |
| 1                             | Management of the departments' information technology resources.   | Patrick McNiel/User Services Spec 3 | Admin Support Team          |
| 2                             | Ensuring that critical data back up occurs.  | Patrick McNiel/User Services Spec 3 | Admin Support Team          |
| 3                             | Ensuring that procedures such as password controls are followed.   | Patrick McNiel/User Services Spec 3 | Admin Support Team          |
| 4                             | Reporting of suspected security violations.  | ALL STAFF                           | ALL STAFF                   |