University Information Technology (H0398/H0533)
Baseline Standards
FY 2018

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.	Bill Spindler (Dir, Business Services III)	Staff uses Survival Guide
2	Updating the Baseline Standards Form.	Bill Spindler (Dir, Business Services III)	Sonia Morales (Dept Bus Admin)
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Michelle Mendez (Fin Coord 2)	Sonia Morales (Dept Bus Admin)
2	Reviewing cost center verifications.	Sonia Morales (Dept Bus Admin)	Bill Spindler (Dir, Business Services III)
3	Approving cost center verifications.	UIT Managers	Bill Spindler (Dir, Business Services III)
4	Ensuring all cost centers are verified/approved on a timely basis.	Bill Spindler (Dir, Business Services III)	Sonia Morales (Dept Bus Admin)
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Cindy Victorian (Asst Dept Bus Admin)	Sonia Morales (Dept Bus Admin)
2	Ensuring the validity of travel and expense reimbursements.	Rowena Castro (Asst Dept Bus Admin)	Cindy Victorian (Asst Dept Bus Admin)
3	Ensuring that goods and services are received and that timely payment is made.	Cindy Victorian (Asst Dept Bus Admin)	Sonia Morales (Dept Bus Admin)
4	Ensuring correct account coding on purchases documents.	Cindy Victorian (Asst Dept Bus Admin)	Sonia Morales (Dept Bus Admin)
5	Primary contact for inquiries to expenditure transactions.	Cindy Victorian (Asst Dept Bus Admin)	Sonia Morales (Dept Bus Admin)
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.	Taylor Quinn (Fin Coord 1)	Rowena Castro (Asst Dept Bus Admin)
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Taylor Quinn (Fin Coord 1)	Rowena Castro (Asst Dept Bus Admin)
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Taylor Quinn (Fin Coord 1)	Rowena Castro (Asst Dept Bus Admin)
4	Completing termination clearance procedures.	Rowena Castro (Asst Dept Bus Admin)	Sonia Morales (Dept Bus Admin)
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Rowena Castro (Asst Dept Bus Admin)	Sonia Morales (Dept Bus Admin)
6	Maintaining departmental Personnel files.	Taylor Quinn (Fin Coord 1)	Rowena Castro (Asst Dept Bus Admin)
7	Ensuring valid authorization of new hires.	Taylor Quinn (Fin Coord 1)	Rowena Castro (Asst Dept Bus Admin)
8	Ensuring valid authorization of changes in compensation rates.	Taylor Quinn (Fin Coord 1)	Rowena Castro (Asst Dept Bus Admin)
9	Ensuring the accurate input of changes to the HR System.	Taylor Quinn (Fin Coord 1)	Rowena Castro (Asst Dept Bus Admin)
10	Consistent and efficient responses to inquiries.	Taylor Quinn (Fin Coord 1)	Rowena Castro (Asst Dept Bus Admin)
CASH HANDLING			

	Description of Responsibility	Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
1	Collecting cash, checks, etc.	Cindy Victorian (Asst Dept Bus Admin)	NA
2	Reconciling cash, checks, etc. to receipts.	Sonia Morales (Dept Bus Admin)	NA
3	Preparing deposits.	Annette Smith (Fin Coord 1)	Michelle Mendez (Fin Coord 2)
4	Preparing Journal Entries.	Annette Smith (Fin Coord 1)	Michelle Mendez (Fin Coord 2)
5	Verifying deposits posted correctly in the Finance System.	Cindy Victorian (Asst Dept Bus Admin)	Sonia Morales (Dept Bus Admin)
6	Adequacy of physical safeguards of cash receipts and equivalent.	Cindy Victorian (Asst Dept Bus Admin)	Michelle Mendez (Fin Coord 2)
7	Secure deposits via UHDPS to Student Financial Services.	NA	NA
8	Ensuring deposits are made timely.	Cindy Victorian (Asst Dept Bus Admin)	Michelle Mendez (Fin Coord 2)
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Cindy Victorian (Asst Dept Bus Admin)	Sonia Morales (Dept Bus Admin)
10	Updating Cash Handling Procedures as needed.	Cindy Victorian (Asst Dept Bus Admin)	NA
11	Distribution of Cash Handling Procedures to employees who handle cash.	Cindy Victorian (Asst Dept Bus Admin)	NA
12	Consistent and efficient responses to inquiries.	Cindy Victorian (Asst Dept Bus Admin)	NA
PETTY CASH			
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
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Veronica Luna (Fin Coord 2)	Sonia Morales (Dept Bus Admin)
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Patrick Grizzaffi (Manager, IT Space and Assets)	Bill Spindler (Dir, Business Services III)
2	Ensuring the annual inventory was completed correctly.	Patrick Grizzaffi (Manager, IT Space and Assets)	Bill Spindler (Dir, Business Services III)
3	Tagging equipment.	Patrick Grizzaffi (Manager, IT Space and Assets)	Bill Spindler (Dir, Business Services III)
4	Approving requests for removal of equipment from campus.	Patrick Grizzaffi (Manager, IT Space and Assets)	Bill Spindler (Dir, Business Services III)
DISCLOSURE FORMS			

	Description of Responsibility	Primary (Required)	Secondary (Optional)
		Responsible Person(s) (Name/Title)	
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Rowena Castro (Asst Dept Bus Admin)	Bill Spindler (Dir, Business Services III)
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Rowena Castro (Asst Dept Bus Admin)	Bill Spindler (Dir, Business Services III)
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	NA	NA
ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	NA
2	Billing.	Cindy Victorian (Asst Dept Bus Admin)	Veronica Luna (Fin Coord 2)
3	Collection.	Cindy Victorian (Asst Dept Bus Admin)	Veronica Luna (Fin Coord 2)
4	Recording.	Cindy Victorian (Asst Dept Bus Admin)	NA
5	Monitoring credit extended.	NA	NA
6	Approving write-offs.	Bill Spindler (Dir, Business Services III)	NA
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Sonia Morales (Dept Bus Admin)	Bill Spindler (Dir, Business Services III)
2	Ensuring that research expenditures are covered by funds from sponsors.	NA	NA
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	UIT Managers & Dept Heads	NA
2	Ensuring that critical data back up occurs.	UIT Staff (for their desktops)	NA
3	Ensuring that procedures such as password controls are followed.	UIT Technical Administrators	NA
4	Reporting of suspected security violations.	UIT Staff	NA