

C.T. Bauer College of Business
Baseline Standards Form
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.	Sara Brown, Director Business Operations	
2	Updating the Baseline Standards Form.	Sara Brown, Director Business Operations	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Khanh Nguyen, Financial Analyst	Terrolyn Gunter, Asst. Business Administrator - Finance
2	Reviewing cost center verifications.	Sara Brown, Director Business Operations	
3	Approving cost center verifications.	Sara Brown, Director Business Operations	
4	Ensuring all cost centers are verified/approved on a timely basis.	Sara Brown, Director Business Operations	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Terrolyn Gunter, Asst. Business Administrator - Finance	Sara Brown, Director Business Operations
2	Ensuring the validity of travel and expense reimbursements.	Terrolyn Gunter, Asst. Business Administrator - Finance	Sara Brown, Director Business Operations
3	Ensuring that goods and services are received and that timely payment is made.	Terrolyn Gunter, Asst. Business Administrator - Finance	Sara Brown, Director Business Operations
4	Ensuring correct account coding on purchases documents.	Terrolyn Gunter, Asst. Business Administrator - Finance	
5	Primary contact for inquiries to expenditure transactions.	Terrolyn Gunter, Asst. Business Administrator - Finance	Sara Brown, Director Business Operations
PAYROLL / HUMAN RESOURCES			
1	Reconciling leave records to time and effort reports.	Alejandra Rodriguez, HR/Payroll Coordinator 2	
2	Reconciling leave accruals to the payroll system.	Alejandra Rodriguez, HR/Payroll Coordinator 2	Rebecca Guzman, Asst. Business Administrator
3	Ensuring all time and effort reports are submitted to Payroll.	Alejandra Rodriguez, HR/Payroll Coordinator 2	Rebecca Guzman, Asst. Business Administrator
4	Reconciling time and effort reports to check registers.	Alejandra Rodriguez, HR/Payroll Coordinator 2	Rebecca Guzman, Asst. Business Administrator
5	Completing termination clearance procedures.	Alejandra Rodriguez, HR/Payroll Coordinator 2	
6	Ensuring terminated employees are no longer charged to departmental cost centers.	Rebecca Guzman, Asst. Business Administrator	Khanh Nguyen, Financial Analyst
7	Paycheck distribution.	Rebecca Guzman, Asst. Business Administrator (Staff)	Alejandra Rodriguez, HR/Payroll Coordinator 2
8	Maintaining departmental Personnel files	Rebecca Guzman, Asst. Business Administrator	Alejandra Rodriguez, HR/Payroll Coordinator 2
9	Ensuring valid authorization of new hires.	Alejandra Rodriguez, HR/ Payroll Coordinator 2 Avani Dave, Faculty Affairs Manager (Faculty)	Rebecca Guzman, Asst. Business Administrator
10	Ensuring valid authorization of changes in compensation rates.	Sara Brown, Director Business Operations	
11	Ensuring the accurate input of changes to the payroll system.	Alejandra Rodriguez, HR/Payroll Coordinator 2	
12	Propriety of leave account classification on time records.	Alejandra Rodriguez, HR/Payroll Coordinator 2	Sara Brown, Director Business Operations
13	Consistent and efficient responses to inquiries.	Sara Brown, Director Business Operations	
CASH HANDLING			

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1	Collecting cash, checks, etc.	Lori Watley, Lucy Hernandez, Kimberly Fernandez, Nicole Grover, Marie Tighe, Linda Guerrero, Calyon Lewis, LaToya Rogers, Melissa Luna, Fallon Levenson, Anesia Lamont, Saira Nadeem, Kathy Dominguez, Cathy Hutzell, Patsy Woods, Joi Bartholomew, Zoila Parra	Terrolyn Gunter, Asst. Business Administrator - Finance Sarah Kole - Financial Coordinator I
2	Reconciling cash, checks, etc. to receipts.	Sarah Kole - Financial Coordinator I	Terrolyn Gunter, Asst. Business Administrator - Finance
3	Preparing deposits.	Sarah Kole - Financial Coordinator I	Terrolyn Gunter, Asst. Business Administrator - Finance
4	Preparing Journal Entries.	Sarah Kole - Financial Coordinator I	Terrolyn Gunter, Asst. Business Administrator - Finance
5	Verifying deposits to the financial system.	Khanh Nguyen, Financial Analyst	
6	Adequacy of physical safeguards.	Sara Brown, College Business Administrator	
7	Transporting deposits to Student Financial Services.	UHPD	
8	Ensuring deposits are made timely.	Terrolyn Gunter, Asst. Business Administrator	Sara Brown, Director Business Operations
9	Ensuring "Acknowledgement of Cash Handling Duties" form is completed by all appropriate employees.	Terrolyn Gunter, Asst. Business Administrator	Sara Brown, Director Business Operations
10	Updating Cash Handling Procedures as needed.	Terrolyn Gunter, Asst. Business Administrator	Sara Brown, College Business Administrator
11	Consistent and efficient responses to inquiries.	Sara Brown, College Business Administrator	
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 / CELL PHONE CHARGES			
1	Manager review of long distance charges for unusual activity.	Department Coordinators	
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	Department Coordinators	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Sara Brown, Director Business Operations	
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Department Coordinators and Samir Hanif, IT Purchasing Coordinator	
2	Ensuring the annual inventory was completed correctly.	Sara Brown, Director Business Operations	Samir Hanif, IT Purchasing Coordinator
3	Tagging equipment.	Samir Hanif, IT Purchasing Crd Jeremy Warren, IT Office Crd	Department Coordinators

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4	Approving requests for removal of equipment from campus.	Department Chairs and Directors	Sara Brown, Director Business Operations
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete a Related Party disclosure statement.	Sara Brown, Director Business Operations	
2	Ensuring all full time, benefits eligible, exempt staff complete a Consulting disclosure statement.	Sara Brown, Director Business Operations	
3	Ensuring that all Principal and Co-Principal Investigators complete a Conflict of Interest disclosure statement.	Sara Brown, Director Business Operations	
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 have positive fund equity at year-end.	Khanh Nguyen, Financial Analyst	Sara Brown, Director Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	Khanh Nguyen, Financial Analyst	Sara Brown, Director Business Operations
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Sara Brown, Director Business Operations	Peter Truong, Mgr, Network Control
2	Ensuring that critical data back up occurs.	Peter Truong, Mgr, Network Control	Brad Baxter, Systems Analyst 2
3	Ensuring that procedures such as password controls are followed.	Peter Truong, Mgr, Network Control	Brad Baxter, Systems Analyst 2
4	Reporting of suspected security violations.	Sara Brown, Director Business Operations	Peter Truong, Mgr, Network Control