#### Bauer Dean's Office Baseline Standards FY 2015

		Responsible Per	son(s) (Name/Title)
Descrit	otion of Responsibility	Primary (Required)	Secondary (Optional)
DEPAF	TMENTAL POLICIES & PROCEDURES / BASELINE		
STANE	Ensuring the Departmental Policy and Procedures manual is	Melissa Niles, College Business Administrator	
1	current.	Menssa Mies, College Busiless Administrator	Sara Brown, Director, College Business Operations
2	Updating the Baseline Standards Form.		Melissa Niles, College Business Administrator
-	oputting the Discinic building romin	Sara Brown, Director, College Business Operations	nonsa mios, conego basiless mainistrator
FINAN	CIAL REPORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.		
		Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Reviewing cost center verifications.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Approving cost center verifications.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
4	Ensuring all cost centers are verified/approved on a timely	bala brown, breetor, conege business operations	Laula Ramenand, Dean
	basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
FINAN	CIAL REPORTING - EXPENDITURE TRANSACTIONS		
1	Ensuring valid authorization of purchase documents.	Sarah Kole, Financial Coordinator 2	
	5 · · · · · · · · · · · · · · · · · · ·		Terrolyn Gunter, Asst Business Administrator - Finance
2	Ensuring the validity of travel and expense reimbursements.	Sarah Kole, Financial Coordinator 2	
			Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely payment is made.	Sarah Kole, Financial Coordinator 2	Terrolyn Gunter, Asst Business Administrator - Finance
4	Ensuring correct account coding on purchases documents.	Sarah Kole, Financial Coordinator 2	Terroryn Gunter, Asst Business Administrator - Finance
			Terrolyn Gunter, Asst Business Administrator - Finance
5	Primary contact for inquiries to expenditure transactions.	Sarah Kole, Financial Coordinator 2	Terrolyn Gunter, Asst Business Administrator - Finance
PAYRO	DLL / HUMAN RESOURCES		
1	Ensuring all binary blocks and dimensional languages and		
	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.	Alejandra Rodriguez, Asst Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approved	Alejandra Rodinguez, Asse Business Administrator	Rebecca Guzinan, Asst Business Administrator - Admin
-	before the deadlines set by Payroll.	Alejandra Rodriguez, Asst Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
3	Ensuring all TRAM high level exceptions are corrected in a		
	timely manner prior to Payroll deadlines.	Alejandra Rodriguez, Asst Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers) are		
<u> </u>	assigned to Time Approvers in TRAM.	Alejandra Rodriguez, Asst Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
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		
	employees) to the trial and final payroll verification reports and off-cycle payrolls.	Alejandra Rodriguez, Asst Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination	Augandra Kodriguez, Asst Dusiness Auministrator	Rebecca Guzinan, Asst Business Auministrator - Aumin
Ŭ	and completing the termination clearance form.	Alejandra Rodriguez, Asst Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to		
	departmental cost centers.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
8	Maintaining departmental personnel files.	Rebecca Guzman, Asst Business Administrator - Admin	Melissa Niles, College Business Administrator
9	mantaning departmental personner mes.	Rebecca Guzman, Asst Dusiness Administrator - Admin	Menssa renes, Conege Busiless Administratol
	Consistent and efficient responses to inquiries.	Rebecca Guzman, Asst Business Administrator - Admin	Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start		
11	date.	Rebecca Guzman, Asst Business Administrator - Admin	Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Rebecca Guzman, Asst Business Administrator - Admin	Melissa Niles, College Business Administrator
L	completed 40 nours prior to necessary access enaliges.	Rebecca Guzman, Asse Dusiness Auminisualloi - Aumini	menssa mes, conege business Auministratol

### Bauer Dean's Office Baseline Standards FY 2015

			son(s) (Name/Title)
	tion of Responsibility	Primary (Required)	Secondary (Optional)
CASH H	IANDLING		
1	Collecting auch charks at	Nichola Grover, Development Coordinator	
1	Collecting cash, checks, etc.	Nichole Grover, Development Coordinator Lori Watley, Office Supervisor	Terrolyn Gunter, Asst Business Administrator - Finance
2	Reconciling cash, checks, etc. to receipts.	Nichole Grover, Development Coordinator	Terroryn Gunter, Asst Business Administrator - Finance
2	Recoluting cash, checks, etc. to receipts.	Lori Watley, Office Supervisor	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	Nichole Grover, Development Coordinator	Perofyn Gunter, Host Dusmess Hummistrutor Timuree
		Lori Watley, Office Supervisor	Terrolyn Gunter, Asst Business Administrator - Finance
4	Preparing Journal Entries.	Lucy Hernandez, Office Coordinator	
			Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System.		
		Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
6	Adequacy of physical safeguards of cash receipts and		
~	equivalent.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
7	Secure deposits via UHDPS to Student Financial Services.	Temples Contra Aret Duringer Administratory Finance	Samely Kala, Einensial Coordinates 2
8	Ensuring deposits are made timely	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
0	Ensuring deposits are made timely.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
9	Ensuring all employees who handle cash have completed Cash	Terroryii Guiner, Asst Business Administrator - Finance	Sala Blown, Director, Conege Business Operations
	Security Procedures or Cash Deposit and Security Procedures		
	training.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
10	Updating Cash Handling Procedures as needed.	Terroryn Gunter, 1955 Business Huminstator Thanee	bala Brown, Breetor, conege Basmess operations
	-1	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
11	Distribution of Cash Handling Procedures to employees who		
	handle cash.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
12	Consistent and efficient responses to inquiries.		
		Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
PETTY	CASH		
1	Preparing petty cash disbursements.	N/A	
		5.T/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	
2		5.T/A	N/A
3	Ensuring petty cash disbursements are made for only authorized	N/A	N/A
4	purposes. Approving petty cash disbursements.	N/A	N/A
4	Approving perty cash disoursements.	IVA	N/A
5	Replenishing the petty cash fund timely.	N/A	
5	reprenising the perty cash rand timery.	****	N/A
6	Ensuring the petty cash fund is balanced after each	N/A	
	disbursement.		N/A
CONTR	ACT ADMINISTRATION		
	Ensuring departmental personnel comply with contract	Sarah Kole, Financial Coordinator 2	
	administration policies/procedures.		Terrolyn Gunter, Asst Business Administrator - Finance
PROPEI	RTY MANAGEMENT		
1	Desfermine the summed inventory		
1	Performing the annual inventory.	7-il- Dama Davan IT Dant Duainan Administration	Sam Brown Diseator Callers Business One
2	Ensuring the annual inventory was associated associated	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
2	Ensuring the annual inventory was completed correctly.	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
3	Tagging equipment.	Zona i ana, Bauei 11 Dept Busiless Auministrator	Sara Brown, Director, Conege Business Operations
5	ragging equipment.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
4	Approving requests for removal of equipment from campus.	Zona rana, zauci 11 Dept Dusiness raministrator	rear rading, merini Director, Bauer Div or reenhology
	-rr	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
DISCLO	SURE FORMS	, series primiting	
1	Ensuring all employees with purchasing influence complete the	Terrolyn Gunter, Asst Business Administrator - Finance	
	annual Related Party disclosure statement online.		Sara Brown, Director, College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff		
	complete the Consulting disclosure statement online.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
	Ensuring that all Principal and Co-Principal Investigators		
	complete the annual Conflict of Interest disclosure statement for		
	the Division of Research.	Sara Brown, Director, College Business Operations	Khanh Nguyen, Financial Analyst 2

#### Bauer Dean's Office Baseline Standards FY 2015

		Responsible Per	son(s) (Name/Title)
Descri	ption of Responsibility	Primary (Required)	Secondary (Optional)
ACCO	UNTS RECEIVABLE		
1	Extending of credit.	Fallon Leverson, Asst Business Administrator	Sara Brown, Director, College Business Operations
2	Billing.	Fallon Leverson, Asst Business Administrator	Sara Brown, Director, College Business Operations
3	Collection.	Fallon Leverson, Asst Business Administrator	Sara Brown, Director, College Business Operations
4	Recording.	Fallon Leverson, Asst Business Administrator	Sara Brown, Director, College Business Operations
5	Monitoring credit extended.	Fallon Leverson, Asst Business Administrator	Sara Brown, Director, College Business Operations
6	Approving write-offs.	Fallon Leverson, Asst Business Administrator	Sara Brown, Director, College Business Operations
NEGA	TIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
DEPAI	RTMENTAL COMPUTING		
1	Management of the departments' information technology resources.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
2	Ensuring that critical data back up occurs.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
3	Ensuring that procedures such as password controls are followed.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
4	Reporting of suspected security violations.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs

## Bauer Management Department Baseline Standards FY 2015

		Responsible Person(s) (Name/Title)	
	ption of Responsibility	Primary (Required)	Secondary (Optional)
	RTMENTAL POLICIES & PROCEDURES / BASELINE		
STAN	DARDS		
1	Ensuring the Departmental Policy and Procedures manual is	Calyon Lewis, DBA	
	current.		James Phillips, Chair
2	Updating the Baseline Standards Form.	Calyon Lewis, DBA	
			Sara Brown, Director, College Business Operations
FINAN	ICIAL REPORTING - COST CENTER VERIFICATIONS		
	<b>-</b>		
1	Preparing cost center verifications.		, _, _, _ ,
		Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Reviewing cost center verifications.	Calyon Lewis, DBA/James Phillips, Chair	
			Sara Brown, Director, College Business Operations
3	Approving cost center verifications.	Calyon Lewis, DBA/James Phillips, Chair	
			Sara Brown, Director, College Business Operations
4	Ensuring all cost centers are verified/approved on a timely		
	basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
FINAN	CIAL REPORTING - EXPENDITURE TRANSACTIONS		
1	Ensuring valid authorization of purchase documents.	Calyon Lewis, DBA	
			Terrolyn Gunter, Asst Business Administrator - Finance
2	Ensuring the validity of travel and expense reimbursements.	Calyon Lewis, DBA	
			Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely	Calyon Lewis, DBA	
	payment is made.		Terrolyn Gunter, Asst Business Administrator - Finance
4	Ensuring correct account coding on purchases documents.	Calyon Lewis, DBA	
			Terrolyn Gunter, Asst Business Administrator - Finance
5	Primary contact for inquiries to expenditure transactions.	Calyon Lewis, DBA	
			Terrolyn Gunter, Asst Business Administrator - Finance
PAYR	OLL / HUMAN RESOURCES		
1	Ensuring all bi-weekly reported time and leave are approved	Calyon Lewis, DBA	
	before the deadlines set by Payroll, so that the correct hours are		
	recorded and paid on each bi-weekly paycheck.		Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approved	Calyon Lewis, DBA	
	before the deadlines set by Payroll.		Rebecca Guzman, Asst Business Administrator - Admin
3	Ensuring all TRAM high level exceptions are corrected in a	Calyon Lewis, DBA	
	timely manner prior to Payroll deadlines.		Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers) are	Calyon Lewis, DBA	
	assigned to Time Approvers in TRAM.		Rebecca Guzman, Asst Business Administrator - Admin
5	Reconciling approved reported time and leave (bi-weekly &	Calyon Lewis, DBA	
	monthly employees) and ePARs (biweekly & monthly		
	employees) to the trial and final payroll verification reports and		
	off-cycle payrolls.		Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination	Calyon Lewis, DBA	
	and completing the termination clearance form.		Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to	Calyon Lewis, DBA	
	departmental cost centers.		Khanh Nguyen, Financial Analyst 2
8		Calyon Lewis, DBA	
	Maintaining departmental personnel files.		Melissa Niles, College Business Administrator
9		Calyon Lewis, DBA	
	Consistent and efficient responses to inquiries.		Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start	Calyon Lewis, DBA	
	date.		Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are	Calyon Lewis, DBA	
	completed 48 hours prior to necessary access changes.		Melissa Niles, College Business Administrator

CASH	HANDLING		
1	Collecting cash, checks, etc.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
2	Reconciling cash, checks, etc. to receipts.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
3	Preparing deposits.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
4	Preparing Journal Entries.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
5	Verifying deposits posted correctly in the Finance System.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
6	Adequacy of physical safeguards of cash receipts and equivalent.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
7	Secure deposits via UHDPS to Student Financial Services.	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	Ensuring deposits are made timely.	Calyon Lewis, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Calyon Lewis, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	Calyon Lewis, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
11	Distribution of Cash Handling Procedures to employees who handle cash.	Calyon Lewis, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
12	Consistent and efficient responses to inquiries.	Calyon Lewis, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
PETTY	CASH		
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely.	N/A	N/A
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
	RACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Calyon Lewis, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
PROPE	RTY MANAGEMENT		
1	Performing the annual inventory.	Calyon Lewis, DBA	Zoila Parra, Bauer IT Dept Business Administrator
2	Ensuring the annual inventory was completed correctly.	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
3	Tagging equipment.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
4	Approving requests for removal of equipment from campus.	James Phillips, Chair	Sara Brown, Director, College Business Operations
	OSURE FORMS		
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Calyon Lewis, DBA	Sara Brown, Director, College Business Operations
	the Division of Research.		bara brown, Director, Conege Business Operations

-			
ACCO	UNTS 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
NEGA	TIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive	Khanh Nguyen, Financial Analyst 2	
	fund equity at year-end.		Sara Brown, Director, College Business Operations
2	Ensuring that research expenditures are covered by funds from	Khanh Nguyen, Financial Analyst 2	
	sponsors.		Sara Brown, Director, College Business Operations
DEPA	RTMENTAL COMPUTING		
1	Management of the departments' information technology		
1	resources.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
2	Ensuring that critical data back up occurs.	Feler Truolig, Internit Director, Bauer Div of Technology	Thomas Notand, Associate Dean for Faculty Affairs
2	Ensuring that erritear data back up occurs.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
3	Ensuring that procedures such as password controls are	reter ritiong, merini Director, Bater Div or reemology	Thomas Poland, Associate Deal for Faculty Attails
5	followed.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
4	Reporting of suspected security violations.	rear maning, marini Breach, Buder Biv or realitology	rionas rionala, resociate Bear for Faculty Arnans
-	reporting of suspected scentry violations.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
L		, the second sec	

## Accounting Taxation Baseline Standards FY 2015

Descrip	otion of Responsibility	Primary (Required)	on(s) (Name/Title) Secondary (Optional)
	TMENTAL POLICIES & PROCEDURES /	• · · •	
1	Ensuring the Departmental Policy and	Linda Guerrero, DBA	
	Procedures manual is current.		Kaye Newberry, Chair
2	Updating the Baseline Standards Form.	Linda Guerrero, DBA	Sara Brown, Director, College Business
			Operations
INAN	CIAL REPORTING - COST CENTER		
1	Preparing cost center verifications.		Sara Brown, Director, College Business
		Khanh Nguyen, Financial Analyst 2	Operations
2	Reviewing cost center verifications.	Linda Guerrero, DBA	Sara Brown, Director, College Business
		Kaye Newberry, Chair	Operations
3	Approving cost center verifications.		Sara Brown, Director, College Business
		Linda Guerrero/Kaye Newberry	Operations
4	Ensuring all cost centers are verified/approved	Sara Brown, Director, College Business	
	on a timely basis.	Operations	Latha Ramchand, Dean
INAN	CIAL REPORTING - EXPENDITURE		
1	Ensuring valid authorization of purchase	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
	documents.		Administrator - Finance
2	Ensuring the validity of travel and expense	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
	reimbursements.		Administrator - Finance
3	Ensuring that goods and services are received	Doris Thomas, OA	Terrolyn Gunter, Asst Business
	and that timely payment is made.	Linda Guerrero, DBA	Administrator - Finance
4	Ensuring correct account coding on purchases	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
	documents.		Administrator - Finance
5	Primary contact for inquiries to expenditure	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
	transactions.		Administrator - Finance
	DLL / HUMAN RESOURCES		
1		Linda Guerrero, DBA	
	Ensuring all bi-weekly reported time and leave		
	are approved before the deadlines set by		
	Payroll, so that the correct hours are recorded		Rebecca Guzman, Asst Business
	and paid on each bi-weekly paycheck.		Administrator - Admin
2	Ensuring all monthly leave is recorded	Linda Guerrero, DBA	
	accurately and approved before the deadlines		Rebecca Guzman, Asst Business
	set by Payroll.		Administrator - Admin
3	Ensuring all TRAM high level exceptions are	Linda Guerrero, DBA	
	corrected in a timely manner prior to Payroll		Rebecca Guzman, Asst Business
4	deadlines.		Administrator - Admin
4	Ensuring all Time Reporters (new employees		
	and transfers) are assigned to Time Approvers	Cecilia Sanchez, OC Linda Guerrero, DBA	Rebecca Guzman, Asst Business Administrator - Admin
5	in TRAM. Reconciling approved reported time and leave	Linda Guerrero, DBA Linda Guerrero, DBA	Administrator - Admin
5	(bi-weekly & monthly employees) and ePARs	Linda Guerrero, DBA	
	(biweekly & monthly employees) and ePARs		
			Rebecca Guzman, Asst Business
	and final payroll verification reports and off- cycle payrolls.		Administrator - Admin
6	Completing termination ePAR's within 24		Administrator - Admin
0	hours of termination and completing the	Cecilia Sanchez, OC	Rebecca Guzman, Asst Business
	termination clearance form.	Linda Guerrero, DBA	Administrator - Admin
7	commutori eleuranee romi.	Linux Guerrero, DDA	
'	Ensuring terminated employees are no longer		
	charged to departmental cost centers.	Linda Guerrero, DBA	Khanh Nguyen, Financial Analyst 2
8	enangee to departmentar cost centers.	Email Cuthero, DBA	Melissa Niles, College Business
0	Maintaining departmental personnel files.	Linda Guerrero, DBA	Administrator
9			Melissa Niles, College Business
	Consistent and efficient responses to inquiries.	Linda Guerrero, DBA	Administrator
10	Hire ePAR's should be processed at least 1	Email Cuthero, DBA	Melissa Niles, College Business
10	week prior to start date.	Linda Guerrero, DBA	Administrator
	Ensure all security access requests and training	Email Cuthero, DBM	
11			
11	courses are completed 48 hours prior to		Melissa Niles, College Business

CASH	HANDLING		
1	Collecting cash, checks, etc.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
	<u> </u>	,	Administrator - Finance
2	Reconciling cash, checks, etc. to receipts.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
			Administrator - Finance
3	Preparing deposits.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
		Cathy Hutzell, PC	Administrator - Finance
4	Preparing Journal Entries.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
		Cathy Hutzell, PC	Administrator - Finance
5	Verifying deposits posted correctly in the	Linda Guerrero, DBA	
	Finance System.	Cathy Hutzell, PC	Khanh Nguyen, Financial Analyst 2
6	Adequacy of physical safeguards of cash	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
	receipts and equivalent.	Cathy Hutzell, PC	Administrator - Finance
7	Secure deposits via UHDPS to Student	Terrolyn Gunter, Asst Business	
	Financial Services.	Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	Ensuring deposits are made timely.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
		Cathy Hutzell, PC	Administrator - Finance
9	Ensuring all employees who handle cash have	Linda Guerrero, DBA	
	completed Cash Security Procedures or Cash		
	Deposit and Security Procedures training.		Terrolyn Gunter, Asst Business
	1 2 0		Administrator - Finance
10	Updating Cash Handling Procedures as	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
	needed.		Administrator - Finance
11	Distribution of Cash Handling Procedures to	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
	employees who handle cash.		Administrator - Finance
12	Consistent and efficient responses to inquiries.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business
		,	Administrator - Finance
PETTY	CASH		The first of the f
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for	N/A	1 V 1 1
-	more than \$100.		N/A
3	Ensuring petty cash disbursements are made	N/A	A 1/ 4 A
5	for only authorized purposes.	1.0.11	N/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely.	N/A	N/A
6	Ensuring the petty cash fund is balanced after	N/A	IVA
0	each disbursement.	1.71	N/A
CONTE	RACT ADMINISTRATION		1VA
1	Ensuring departmental personnel comply with		
1	contract administration policies/procedures.	Cecilia Sanchez, OC	Terrolyn Gunter, Asst Business
	contract administration poncies/procedures.	Linda Guerrero, DBA	Administrator - Finance
DDUDE	RTY MANAGEMENT	Linda Guerrero, DBA	Administrator - Finance
1	Performing the annual inventory.	Cecilia Sanchez, OC	Zoila Parra, Bauer IT Dept Business
1	renorming the annual inventory.	Linda Guerrero, DBA	Administrator
2	Ensuring the annual inventory was completed	Zoila Parra, Bauer IT Dept Business	Sara Brown, Director, College Business
2	Ensuring the annual inventory was completed correctly.	Administrator	Operations
3			
3	Tagging equipment.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer
4	Approving requests for removal of equipment	Aummistrator	Div of Technology Sara Brown, Director, College Business
4			
	from campus.	Kaye Newberry, Chair	Operations
DISCLO	OSURE FORMS	Transfer Contra Arti Dal	
1	Ensuring all employees with purchasing	Terrolyn Gunter, Asst Business	
	influence complete the annual Related Party	Administrator - Finance	Sara Brown, Director, College Business
	disclosure statement online.		Operations
	Enguring all full time, hanafite aligible		
2	Ensuring all full time, benefits eligible,		
2	exempt faculty and staff complete the	Sara Brown, Director, College Business	
	exempt faculty and staff complete the Consulting disclosure statement online.	Operations	Latha Ramchand, Dean
2	exempt faculty and staff complete the Consulting disclosure statement online. Ensuring that all Principal and Co-Principal		Latha Ramchand, Dean
	exempt faculty and staff complete the Consulting disclosure statement online. Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of	Operations	Latha Ramchand, Dean
	exempt faculty and staff complete the Consulting disclosure statement online. Ensuring that all Principal and Co-Principal	Operations	Latha Ramchand, Dean Sara Brown, Director, College Business Operations

## Accounting Taxation Baseline Standards FY 2015

ACCOL	JNTS 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
NEGAT	TVE BALANCES		
1	Ensuring that all fund groups for each Dept ID	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business
	have positive fund equity at year-end.		Operations
2	Ensuring that research expenditures are	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business
	covered by funds from sponsors.		Operations
DEPAR	TMENTAL COMPUTING		
1	Management of the departments' information	Peter Truong, Interim Director, Bauer	Thomas Noland, Associate Dean for
	technology resources.	Div of Technology	Faculty Affairs
2	Ensuring that critical data back up occurs.	Peter Truong, Interim Director, Bauer	Thomas Noland, Associate Dean for
		Div of Technology	Faculty Affairs
3	Ensuring that procedures such as password	Peter Truong, Interim Director, Bauer	Thomas Noland, Associate Dean for
	controls are followed.	Div of Technology	Faculty Affairs
4	Reporting of suspected security violations.	Peter Truong, Interim Director, Bauer	Thomas Noland, Associate Dean for
		Div of Technology	Faculty Affairs

#### Decision Information Sciences Baseline Standards FY 2015

Descri	ption of Responsibility	Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE			
STAN	DARDS		
1	Ensuring the Departmental Policy and Procedures manual is	LaToya Brannon, Department Business Administrator,	
	current.	Decision and Information Sciences	Everette Gardner, Chair, Decision and Information Sciences
2	Updating the Baseline Standards Form.	LaToya Brannon, Department Business Administrator,	
	ICIAL REPORTING - COST CENTER VERIFICATIONS	Decision and Information Sciences	Sara Brown, Director, College Business Operations
FIINAP	CIAL REFORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.		
		Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Reviewing cost center verifications.		
2	A	Everette Gardner, Chair, Decision and Information Sciences	Sara Brown, Director, College Business Operations
3	Approving cost center verifications.	Everette Gardner, Chair, Decision and Information Sciences	Sara Brown, Director, College Business Operations
4	Ensuring all cost centers are verified/approved on a timely	Everette Gardner, Chair, Decision and information Sciences	Sara Brown, Director, Conege Business Operations
-	basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
FINAN	VCIAL REPORTING - EXPENDITURE TRANSACTIONS	baa biowa, birector, conege basiness operations	Build Humonand, Dour
1	Ensuring valid authorization of purchase documents.	LaToya Brannon, Department Business Administrator,	
	C X	Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
2	Ensuring the validity of travel and expense reimbursements.	LaToya Brannon, Department Business Administrator,	
		Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely	LaToya Brannon, Department Business Administrator,	
	payment is made.	Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
4	Ensuring correct account coding on purchases documents.	LaToya Brannon, Department Business Administrator,	
		Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
5	Primary contact for inquiries to expenditure transactions.	LaToya Brannon, Department Business Administrator,	
	OLL / HUMAN RESOURCES	Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
PAYK	OLL / HUMAN RESOURCES		
1	Ensuring all bi-weekly reported time and leave are approved	LaToya Brannon, Department Business Administrator,	
	before the deadlines set by Payroll, so that the correct hours are	Decision and Information Sciences	
	recorded and paid on each bi-weekly paycheck.		Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approved	LaToya Brannon, Department Business Administrator,	
	before the deadlines set by Payroll.	Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
3	Ensuring all TRAM high level exceptions are corrected in a	LaToya Brannon, Department Business Administrator,	
	timely manner prior to Payroll deadlines.	Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers) are	LaToya Brannon, Department Business Administrator,	
	Ensuring an Time Reporters (new employees and transfers) are	La loya Brannon, Department Business Administrator,	
	assigned to Time Approvers in TRAM.	Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
5	assigned to Time Approvers in TRAM. Reconciling approved reported time and leave (bi-weekly &	Decision and Information Sciences LaToya Brannon, Department Business Administrator,	Rebecca Guzman, Asst Business Administrator - Admin
5	assigned to Time Approvers in TRAM. Reconciling approved reported time and leave (bi-weekly & monthly employees) and ePARs (biweekly & monthly	Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
5	assigned to Time Approvers in TRAM. Reconciling approved reported time and leave (bi-weekly & monthly employees) and ePARs (biweekly & monthly employees) to the trial and final payroll verification reports and	Decision and Information Sciences LaToya Brannon, Department Business Administrator,	
	assigned to Time Approvers in TRAM. 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.	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin Rebecca Guzman, Asst Business Administrator - Admin
5	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences LaToya Brannon, Department Business Administrator,	Rebecca Guzman, Asst Business Administrator - Admin
6	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences	
	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination and completing the termination clearance form. Ensuring terminated employees are no longer charged to	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences LaToya Brannon, Department Business Administrator,	Rebecca Guzman, Asst Business Administrator - Admin Rebecca Guzman, Asst Business Administrator - Admin
6 7	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
6	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination and completing the termination clearance form. Ensuring terminated employees are no longer charged to departmental cost centers.	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin Rebecca Guzman, Asst Business Administrator - Admin Khanh Nguyen, Financial Analyst 2
6 7 8	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination and completing the termination clearance form. Ensuring terminated employees are no longer charged to	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin Rebecca Guzman, Asst Business Administrator - Admin
6 7	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination and completing the termination clearance form. Ensuring terminated employees are no longer charged to departmental cost centers. Maintaining departmental personnel files.	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences LaToya Brannon, Department Business Administrator, LaToya Brannon, Department Business Administrator,	Rebecca Guzman, Asst Business Administrator - Admin Rebecca Guzman, Asst Business Administrator - Admin Khanh Nguyen, Financial Analyst 2 Melissa Niles, College Business Administrator
6 7 8	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination and completing the termination clearance form. Ensuring terminated employees are no longer charged to departmental cost centers. Maintaining departmental personnel files. Consistent and efficient responses to inquiries.	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin Rebecca Guzman, Asst Business Administrator - Admin Khanh Nguyen, Financial Analyst 2
6 7 8 9	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination and completing the termination clearance form. Ensuring terminated employees are no longer charged to departmental cost centers. Maintaining departmental personnel files.	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin Rebecca Guzman, Asst Business Administrator - Admin Khanh Nguyen, Financial Analyst 2 Melissa Niles, College Business Administrator Melissa Niles, College Business Administrator
6 7 8 9	assigned to Time Approvers in TRAM. 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. Completing termination ePAR's within 24 hours of termination and completing the termination clearance form. Ensuring terminated employees are no longer charged to departmental cost centers. Maintaining departmental personnel files. Consistent and efficient responses to inquiries. Hire ePAR's should be processed at least 1 week prior to start	Decision and Information Sciences LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin Rebecca Guzman, Asst Business Administrator - Admin Khanh Nguyen, Financial Analyst 2 Melissa Niles, College Business Administrator

CASH I	IANDLING		
1	Collecting cash, checks, etc.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
2	Reconciling cash, checks, etc. to receipts.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
4	Preparing Journal Entries.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Khanh Nguyen, Financial Analyst 2
6	Adequacy of physical safeguards of cash receipts and equivalent.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
7	Secure deposits via UHDPS to Student Financial Services.		
8	Ensuring deposits are made timely.	Terrolyn Gunter, Asst Business Administrator - Finance LaToya Brannon, Department Business Administrator,	Sarah Kole, Financial Coordinator 2
9	Ensuring all employees who handle cash have completed Cash	Decision and Information Sciences LaToya Brannon, Department Business Administrator,	Terrolyn Gunter, Asst Business Administrator - Finance
,	Security Procedures or Cash Deposit and Security Procedures training.	Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	LaToya Brannon, Department Business Administrator,	renorgin Galler, risst Dusiness runninstator - Fillance
		Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
11	Distribution of Cash Handling Procedures to employees who handle cash.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
12	Consistent and efficient responses to inquiries.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
PETTY	CASH		
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely.	N/A	N/A
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
CONTR	ACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
PROPE	RTY MANAGEMENT		
1	Performing the annual inventory.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Zoila Parra, Bauer IT Dept Business Administrator
2	Ensuring the annual inventory was completed correctly.	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
3	Tagging equipment.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
4	Approving requests for removal of equipment from campus.	Everette Gardner, Chair, Decision and Information Sciences	Sara Brown, Director, College Business Operations
DISCLO	SURE FORMS		
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Sara Brown, Director, College Business Operations
	the Division of Research.		Data Drown, Director, Conege Dusiness Operations

ACCOU	JNTS 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
NEGAT	TIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive	Khanh Nguyen, Financial Analyst 2	
	fund equity at year-end.		Sara Brown, Director, College Business Operations
2	Ensuring that research expenditures are covered by funds from	Khanh Nguyen, Financial Analyst 2	
	sponsors.		Sara Brown, Director, College Business Operations
DEPAR	TMENTAL COMPUTING		
1	Management of the departments' information technology		
	resources.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
2	Ensuring that critical data back up occurs.		
		Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
3	Ensuring that procedures such as password controls are		
	followed.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
4	Reporting of suspected security violations.		
		Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs

### Bauer Graduate Professional Programs Baseline Standards FY 2015

Description of Responsibility		Primary (Required)	erson(s) (Name/Title) Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE		Timary (Required)	Secondary (Optional)
	DARDS		
1	Ensuring the Departmental Policy and Procedures manual is	Fallon Leverson, Assistant Business Administrator	
1	current.	r anon Ecverson, Assistant Dusiness Administrator	Michelle Poullard, Director, Academic Operations
2	Updating the Baseline Standards Form.	Fallon Leverson, Assistant Business Administrator	Michene Founard, Director, Academic Operations
2	Opdating the Baseline Standards Form.	Fallon Leverson, Assistant Business Administrator	Sara Brown, Director, College Business Operations
TINIAN	ICIAL REPORTING - COST CENTER VERIFICATIONS		Sara Brown, Director, Conege Business Operations
FINAN	CIAL REPORTING - COST CENTER VERIFICATIONS		
1	Deservice and a state of Casting		
1	Preparing cost center verifications.		
2		Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Reviewing cost center verifications.		
		Fallon Leverson, Assistant Business Administrator	Sara Brown, Director, College Business Operations
3	Approving cost center verifications.		
		Michelle Poullard, Director, Academic Operations	Sara Brown, Director, College Business Operations
4	Ensuring all cost centers are verified/approved on a timely		
	basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
FINAN	ICIAL REPORTING - EXPENDITURE TRANSACTIONS		
1	Ensuring valid authorization of purchase documents.	Fallon Leverson, Assistant Business Administrator	
			Terrolyn Gunter, Asst Business Administrator - Finance
2	Ensuring the validity of travel and expense reimbursements.	Michelle Poullard, Director, Academic Operations	
			Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely	Fallon Leverson, Assistant Business Administrator	
	payment is made.		Terrolyn Gunter, Asst Business Administrator - Finance
4	Ensuring correct account coding on purchases documents.	Fallon Leverson, Assistant Business Administrator	
			Terrolyn Gunter, Asst Business Administrator - Finance
5	Primary contact for inquiries to expenditure transactions.	Fallon Leverson, Assistant Business Administrator	•
			Terrolyn Gunter, Asst Business Administrator - Finance
PAYR	OLL / 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.	Fallon Leverson, Assistant Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and	Failoit Leverson, Assistant Business Administrator	Rebecca Guzinan, Asst Business Administrator - Admin
2	approved before the deadlines set by Payroll.	Fallon Leverson, Assistant Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
3	Ensuring all TRAM high level exceptions are corrected in a	Failon Leverson, Assistant Business Administrator	Rebecca Ouzinan, Asst Business Administrator - Admin
3		E-llen I	Debene Common Acet Designer Administration Admin
4	timely manner prior to Payroll deadlines.	Fallon Leverson, Assistant Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers) are		Daharan Carrana Arat Darinara Administratur Admin
-	assigned to Time Approvers in TRAM.	Fallon Leverson, Assistant Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
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.	Fallon Leverson, Assistant Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination		
	and completing the termination clearance form.	Fallon Leverson, Assistant Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to		
	departmental cost centers.	Fallon Leverson, Assistant Business Administrator	Khanh Nguyen, Financial Analyst 2
8		Fallon Leverson, Assistant Business Administrator	
	Maintaining departmental personnel files.		Melissa Niles, College Business Administrator
9		Fallon Leverson, Assistant Business Administrator	
	Consistent and efficient responses to inquiries.		Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start	Fallon Leverson, Assistant Business Administrator	
	date.		Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are	Fallon Leverson, Assistant Business Administrator	
Í	completed 48 hours prior to necessary access changes.	,	Melissa Niles, College Business Administrator
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### Bauer Graduate Professional Programs Baseline Standards FY 2015

CASH	HANDLING		
1	Collecting cash, checks, etc.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
2	Reconciling cash, checks, etc. to receipts.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
4	Preparing Journal Entries.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System.	Fallon Leverson, Assistant Business Administrator	Khanh Nguyen, Financial Analyst 2
6	Adequacy of physical safeguards of cash receipts and equivalent.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
7	Secure deposits via UHDPS to Student Financial Services.	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	Ensuring deposits are made timely.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures	Fallon Leverson, Assistant Business Administrator	Terrolyn Guner, Asst Dusiness Administrator - I marce
10	Updating Cash Handling Procedures as needed.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
10	Distribution of Cash Handling Procedures to employees who	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
11	handle cash. Consistent and efficient responses to inquiries.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
	CASH	r anon Leverson, Assistant Dusiness Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely.	N/A	N/A
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
CONTI	RACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
PROPE	RTY MANAGEMENT		
1	Performing the annual inventory.	Ramona Taylor, Program Director, EMBA	Zoila Parra, Bauer IT Dept Business Administrator
2	Ensuring the annual inventory was completed correctly.	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
3	Tagging equipment.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
4	Approving requests for removal of equipment from campus.	Michelle Poullard, Director, Academic Operations	Sara Brown, Director, College Business Operations
DISCL	OSURE FORMS		
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Michelle Poullard, Director, Academic Operations	Sara Brown, Director, College Business Operations
			Sur 215mi, Director, Conege Dusiness Operations

### Bauer Graduate Professional Programs Baseline Standards FY 2015

ACCOU	JNTS RECEIVABLE		
1	Extending of credit.	Fallon Leverson, Assistant Business Administrator	
			Michelle Poullard, Director, Academic Operations
2	Billing.	Fallon Leverson, Assistant Business Administrator	
			Michelle Poullard, Director, Academic Operations
3	Collection.	Fallon Leverson, Assistant Business Administrator	
			Michelle Poullard, Director, Academic Operations
4	Recording.	Fallon Leverson, Assistant Business Administrator	
~	N		Michelle Poullard, Director, Academic Operations
5	Monitoring credit extended.	Fallon Leverson, Assistant Business Administrator	
(	Approving write-offs.	Fallon Leverson, Assistant Business Administrator	Michelle Poullard, Director, Academic Operations
6	Approving write-oirs.	Fallon Leverson, Assistant Business Administrator	Michelle Poullard, Director, Academic Operations
NECAT	TIVE BALANCES		Michelle Poullaid, Director, Academic Operations
NLOA.	IVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive	Khanh Nguyen, Financial Analyst 2	
	fund equity at year-end.		Sara Brown, Director, College Business Operations
2	Ensuring that research expenditures are covered by funds from	Khanh Nguyen, Financial Analyst 2	
	sponsors.		Sara Brown, Director, College Business Operations
DEPAF	TMENTAL COMPUTING		
	1		
1	Management of the departments' information technology		
	resources.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
2	Ensuring that critical data back up occurs.		
		Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
3	Ensuring that procedures such as password controls are	Deter Trees and Latering Directory Deven Direct Tree has been	The second state in the second s
4	followed.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
4	Reporting of suspected security violations.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
		reter fruong, internit Director, Batter Div of Technology	Thomas Notanu, Associate Dean for Faculty Affairs

# Bauer Division of Technology Baseline Standards FY 2015

Descrip	tion of Responsibility	Primary (Required)	Secondary (Optional)
DEPAR	TMENTAL POLICIES & PROCEDURES / BASELINE		
1	Ensuring the Departmental Policy and Procedures manual is current.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
2	Updating the Baseline Standards Form	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operation:
FINAN	CIAL REPORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operation:
2	Reviewing cost center verifications	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operation:
3	Approving cost center verifications	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operation:
	Ensuring all cost centers are verified/approved on a timely basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
FINAN	CIAL REPORTING - EXPENDITURE TRANSACTIONS		
1	Ensuring valid authorization of purchase documents	Zoila Parra, Bauer IT Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
2	Ensuring the validity of travel and expense reimbursements.	NA	Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely payment is made.	Zoila Parra, Bauer IT Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
4	Ensuring correct account coding on purchases documents	Zoila Parra, Bauer IT Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
5	Primary contact for inquiries to expenditure transactions	Zoila Parra, Bauer IT Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
PAYRO	LL / 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.	Zoila Parra, Bauer IT Dept Business Administrator & DeAun Ardoin, Office Assistant I	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approvec before the deadlines set by Payroll.	Zoila Parra, Bauer IT Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Zoila Parra, Bauer IT Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Zoila Parra, Bauer IT Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
	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.	Zoila Parra, Bauer IT Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Zoila Parra, Bauer IT Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Zoila Parra, Bauer IT Dept Business Administrator	Khanh Nguyen, Financial Analyst 2
8	Maintaining departmental personnel files.	Zoila Parra, Bauer IT Dept Business Administrator & DeAun Ardoin, Office Assistant I	Melissa Niles, College Business Administrator
9 10	Consistent and efficient responses to inquiries Hire ePAR's should be processed at least 1 week prior to start date.	Zoila Parra, Bauer IT Dept Business Administrator Zoila Parra, Bauer IT Dept Business Administrator	Melissa Niles, College Business Administrato Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Zoila Parra, Bauer IT Dept Business Administrator & DeAun Ardoin, Office Assistant I	

# Bauer Division of Technology Baseline Standards FY 2015

CASH	HANDLING		
1	Collecting cash, checks, etc	Zoila Parra, Bauer IT Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
2	Reconciling cash, checks, etc. to receipts	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operation
3	Preparing deposits.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operation
4	Preparing Journal Entries.	Zoila Parra, Bauer IT Dept Business Administrator & DeAun	bala biown, birector, conege basiness operations
-	rieparing Journal Entries.	Ardoin, Office Assistant I	Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operation:
6	Adequacy of physical safeguards of cash receipts and equivalent		bara brown, Director, conege business operation.
0	Adequacy of physical safeguards of easil receipts and equivalent	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
7	Secure deposits via UHDPS to Student Financial Services	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	Ensuring deposits are made timely.	Zoila Parra, Bauer IT Dept Business Administrator & DeAun	baran Hole, Financial Coordinator 2
0	Ensuring deposits are made uniery.	Ardoin, Office Assistant I	Terrolvn Gunter, Asst Business Administrator - Finance
9	Ensuring all employees who handle cash have completed Cash	Zoila Parra, Bauer IT Dept Business Administrator	Terroryn Gunter, Asst Business Administrator - Finance
9	Security Procedures or Cash Deposit and Security Procedures	Zona Faira, Bauer II Dept Busiless Administrator	
	security Procedures or Cash Deposit and Security Procedures		Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operation:
		Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operation:
11	Distribution of Cash Handling Procedures to employees who		
	handle cash.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
12	Consistent and efficient responses to inquiries.	Zoila Parra, Bauer IT Dept Business Administrator & DeAun	
		Ardoin, Office Assistant I	Terrolyn Gunter, Asst Business Administrator - Finance
PETTY	CASH		
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely	N/A	N/A
6	Ensuring the petty cash fund is balanced after each disbursement		10/11
0	Ensuring the perty cash fund is balanced after each disbursement	14/21	N/A
CONTR	RACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract		
	administration policies/procedures	Zoila Parra, Bauer IT Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
PROPE	RTY MANAGEMENT		
1	Performing the annual inventory	Zoila Parra, Bauer IT Dept Business Administrator	Zoila Parra, Bauer IT Dept Business Administrator
2	Ensuring the annual inventory was completed correctly	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operation:
3	Tagging equipment.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technolog
4	Approving requests for removal of equipment from campus.		
		Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
DISCL	OSURE FORMS		
1		Terrolyn Gunter, Asst Business Administrator - Finance	
	annual Related Party disclosure statement online.	· · · · · · · · · · · · · · · · · · ·	
			Sara Brown, Director, College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff		
	complete the Consulting disclosure statement online	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Ensuring that all Principal and Co-Principal Investigators		
5	complete the annual Conflict of Interest disclosure statement for		
	the Division of Research	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
	the Division of Research	Long rang, bauer in Dept Business rummistrator	Sana Brown, Briteror, Conege Business Operations

# Bauer Division of Technology Baseline Standards FY 2015

ACCOU	INTS 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
NEGAT	TVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive	Khanh Nguyen, Financial Analyst 2	
	fund equity at year-end		Sara Brown, Director, College Business Operations
2	Ensuring that research expenditures are covered by funds from	Khanh Nguyen, Financial Analyst 2	
	sponsors.		Sara Brown, Director, College Business Operations
DEPAR	TMENTAL COMPUTING		
1	Management of the departments' information technology		
	resources.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
2	Ensuring that critical data back up occurs	Peter Truong, Interim Director, Bauer Div of Technolog	Thomas Noland, Associate Dean for Faculty Affairs
3	Ensuring that procedures such as password controls are followed		
		Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
4	Reporting of suspected security violations	Peter Truong, Interim Director, Bauer Div of Technolog	Thomas Noland, Associate Dean for Faculty Affairs

### Bauer Finance Dept Baseline Standards FY 2015

Description of Responsibility		Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
STAN			
1	Ensuring the Departmental Policy and Procedures manual is current.	Anesia Lamont Finance Dept Business Administrator	Praveen Kunmar Chairperson, Department of Finance
2	Updating the Baseline Standards Form.	Anesia Lamont Finance Dept Business Administrator	Sara Brown, Director, College Business Operations
INAN	CIAL REPORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Reviewing cost center verifications.	Anesia Lamont Finance Dept Business Administrator/Praveen	Sara Brown, Director, Conege Business Operations
2	Reviewing cost center vernications.	Kunmar Chairperson, Department of Finance	Sara Brown, Director, College Business Operations
3	Approving cost center verifications.	Anesia Lamont Finance Dept Business Administrator/Praveen	
		Kunmar Chairperson, Department of Finance	Sara Brown, Director, College Business Operations
4	Ensuring all cost centers are verified/approved on a timely		
	basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
INAN	CIAL REPORTING - EXPENDITURE TRANSACTIONS		
1	Ensuring valid authorization of purchase documents.	Anesia Lamont Finance Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
2	Ensuring the validity of travel and expense reimbursements.	Anesia Lamont Finance Dept Business Administrator	Terroryn Gunter, Asst Business Administrator - T mance
2	Ensuring the valuery of traver and expense reiniburschients.	r nesia Eanon r marce Dept Business r anninstrator	Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely	Anesia Lamont Finance Dept Business Administrator	
	payment is made.		Terrolyn Gunter, Asst Business Administrator - Finance
4	Ensuring correct account coding on purchases documents.	Anesia Lamont Finance Dept Business Administrator	
			Terrolyn Gunter, Asst Business Administrator - Finance
5	Primary contact for inquiries to expenditure transactions.	Anesia Lamont Finance Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
AYR	DLL / HUMAN RESOURCES		
1	Ensuring all bi-weekly reported time and leave are approved	Anesia Lamont Finance Dept Business Administrator/ Ieshia	
	before the deadlines set by Payroll, so that the correct hours are	Deal Finance Dept Office Coordinator	
	recorded and paid on each bi-weekly paycheck.	-	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approved	Anesia Lamont Finance Dept Business Administrator	
	before the deadlines set by Payroll.	*	Rebecca Guzman, Asst Business Administrator - Admin
3	Ensuring all TRAM high level exceptions are corrected in a	Anesia Lamont Finance Dept Business Administrator	
	timely manner prior to Payroll deadlines.		Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Anesia Lamont Finance Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
5	Reconciling approved reported time and leave (bi-weekly &	Anesia Lamont Finance Dept Business Administrator	
	monthly employees) and ePARs (biweekly & monthly	×	
	employees) to the trial and final payroll verification reports and		
	off-cycle payrolls.		Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination	Anesia Lamont Finance Dept Business Administrator	
	and completing the termination clearance form.		Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to	Anesia Lamont Finance Dept Business Administrator	Khanh Manuan Financial Analast 2
8	departmental cost centers.	Anesia Lamont Finance Dept Business Administrator/ Ieshia	Khanh Nguyen, Financial Analyst 2
0	Maintaining departmental personnel files.	Deal Finance Dept Office Coordinator	Melissa Niles, College Business Administrator
9	manaaning departmental personnel mes.	Anesia Lamont Finance Dept Business Administrator/ Ieshia	Additional Antes, Conege Dusiness Administrator
<i>,</i>	Consistent and efficient responses to inquiries.	Deal Finance Dept Office Coordinator	Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start	Anesia Lamont Finance Dept Business Administrator	
	date.	*	Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are	Anesia Lamont Finance Dept Business Administrator	
	completed 48 hours prior to necessary access changes.		Melissa Niles, College Business Administrator

### Bauer Finance Dept Baseline Standards FY 2015

CASH I	HANDLING		
1	Collecting cash, checks, etc.	Sarah Kole, Financial Coordinator 2	
	-		Terrolyn Gunter, Asst Business Administrator - Finance
2	Reconciling cash, checks, etc. to receipts.	Sarah Kole, Financial Coordinator 2	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	Sarah Kole, Financial Coordinator 2	Terrolyn Gunter, Asst Business Administrator - Finance
4	Preparing Journal Entries.	Sarah Kole, Financial Coordinator 2	Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System.	Terrolyn Gunter, Asst Business Administrator - Finance	Khanh Nguyen, Financial Analyst 2
6	Adequacy of physical safeguards of cash receipts and equivalent.	Terrolyn Gunter, Asst Business Administrator - Finance	Terrolyn Gunter, Asst Business Administrator - Finance
7	Secure deposits via UHDPS to Student Financial Services.		
8	Ensuring deposits are made timely.	Terrolyn Gunter, Asst Business Administrator - Finance Anesia Lamont Finance Dept Business Administrator	Sarah Kole, Financial Coordinator 2
9	Ensuring all employees who handle cash have completed Cash	Anesia Lamont Finance Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
	Security Procedures or Cash Deposit and Security Procedures training.		Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	Anesia Lamont Finance Dept Business Administrator	reasing Guner, riss Dusiness Administrator - Fillallee
11	Distribution of Cock Handling Providence to surplane	Anosis I amont Einango Dant Builing A Julia interter	Terrolyn Gunter, Asst Business Administrator - Finance
	Distribution of Cash Handling Procedures to employees who handle cash.	Anesia Lamont Finance Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
12	Consistent and efficient responses to inquiries.	Anesia Lamont Finance Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
PETTY	CASH		
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely.	N/A	N/A
6	Ensuring the petty cash fund is balanced after each	N/A	
CONTR	disbursement. ACT ADMINISTRATION		N/A
1	Ensuring departmental personnel comply with contract	Anesia Lamont Finance Dept Business Administrator	
PROPE	administration policies/procedures. RTY MANAGEMENT		Terrolyn Gunter, Asst Business Administrator - Finance
1	Performing the annual inventory.	Anesia Lamont Finance Dept Business Administrator/ Ieshia	
2	Ensuring the annual inventory was completed correctly.	Deal Finance Dept Office Coordinator	Zoila Parra, Bauer IT Dept Business Administrator
3		Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
	Tagging equipment.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
4	Approving requests for removal of equipment from campus.	Praveen Kunmar Chairperson, Department of Finance	Sara Brown, Director, College Business Operations
DISCLO	OSURE FORMS		
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Anesia Lamont Finance Dept Business Administrator	Sara Brown, Director, College Business Operations
	nie Division of Research.		Data Drown, Director, Conege Dusiness Operations

JNTS RECEIVABLE		
Extending of credit	N/A	
Extending of credit.	IV/A	N/A
Billing	NI/A	IVA
Billing.	IVA	N/A
Collection	NI/A	N/A
Conection.	IVA	N/A
Pecording	N/A	N/A
Recording.	IVA	N/A
Monitoring gradit artandad	NI/A	N/A
Monitoring creat extended.	IVA	N/A
Approving write offe	NI/A	N/A
Approving write-ons.	IVA	N/A
TVE DALANCES		N/A
IVE DALANCES		
Ensuring that all fund groups for each Dept ID have positive	Khanh Nguyen, Financial Analyst 2	
	Khain Nguyen, i manetar Maryst 2	Sara Brown, Director, College Business Operations
	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, Conege Business Operations
	Khann (vguyen, i maneiar / maryst 2	Sara Brown, Director, College Business Operations
		Sala Brown, Breetor, conege Business operations
Management of the departments' information technology		
	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
Ensuring that procedures such as password controls are		
followed.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
Reporting of suspected security violations.		
	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
		Extending of credit.       N/A         Billing.       N/A         Collection.       N/A         Recording.       N/A         Monitoring credit extended.       N/A         Approving write-offs.       N/A         TVE BALANCES       N/A         Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.       Khanh Nguyen, Financial Analyst 2         Ensuring that all fund groups for each Dept ID have positive sponsors.       Khanh Nguyen, Financial Analyst 2         TMENTAL COMPUTING       Management of the departments' information technology resources.         Ensuring that critical data back up occurs.       Peter Truong, Interim Director, Bauer Div of Technology         Ensuring that procedures such as password controls are followed.       Peter Truong, Interim Director, Bauer Div of Technology         Reporting of suspected security violations.       Peter Truong, Interim Director, Bauer Div of Technology

# Bauer Undergraduate Programs Baseline Standards FY 2015

		Responsible F	Person(s) (Name/Title)
Descri	ption of Responsibility	Primary (Required)	Secondary (Optional)
DEPAI	RTMENTAL POLICIES & PROCEDURES / BASELINE		
1	Ensuring the Departmental Policy and Procedures manual is	Frank Kelley, Associate Dean	
	current.		Kathy Dominguez, Dept Business Administrator
2	Updating the Baseline Standards Form.	Kathy Dominguez, Dept Business Administrator	Sara Brown, Director, College Business Operations
FINAN	CIAL REPORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Reviewing cost center verifications.	Kathy Dominguez, Dept Business Administrator	Sara Brown, Director, College Business Operations
3	Approving cost center verifications.	Frank Kelley, Associate Dean	Sara Brown, Director, College Business Operations
4	Ensuring all cost centers are verified/approved on a timely		
	basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
FINAN	CIAL REPORTING - EXPENDITURE TRANSACTIONS	· · · · ·	
1	Ensuring valid authorization of purchase documents.	Amy Tran, Administrative Coordinator	Terrolyn Gunter, Asst Business Administrator - Finance
2	Ensuring the validity of travel and expense reimbursements.	Amy Tran, Administrative Coordinator	
			Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely	Amy Tran, Administrative Coordinator	
	payment is made.		Terrolyn Gunter, Asst Business Administrator - Finance
4	Ensuring correct account coding on purchases documents.	Kathy Dominguez, Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
5	Primary contact for inquiries to expenditure transactions.	Kathy Dominguez, Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
PAYR	DLL / 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.	Kathy Dominguez, Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approved		
	before the deadlines set by Payroll.	Kathy Dominguez, Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
3	Ensuring all TRAM high level exceptions are corrected in a		
	timely manner prior to Payroll deadlines.	Kathy Dominguez, Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers) are		
	assigned to Time Approvers in TRAM.	Kathy Dominguez, Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
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.	Kathy Dominguez, Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination		
Ŭ	and completing the termination clearance form	Kathy Dominguez, Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to		
•	departmental cost centers.	Kathy Dominguez, Dept Business Administrator	Khanh Nguyen, Financial Analyst 2
8	Maintaining departmental personnel files.	Kathy Dominguez, Dept Business Administrator	Melissa Niles, College Business Administrator
9	Consistent and efficient responses to inquiries.	Kathy Dominguez, Dept Business Administrator	Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start	The provide state of the second state of the s	inclusion i most, conege Dusiness i faininistator
10	date.	Kathy Dominguez, Dept Business Administrator	Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are	The source of the second secon	needs a rando, conege Dusiness ranninstator
11	completed 48 hours prior to necessary access changes.	Kathy Dominguez, Dept Business Administrator	Melissa Niles, College Business Administrator

# Bauer Undergraduate Programs Baseline Standards FY 2015

CASH	HANDLING		
1	Collecting cash, checks, etc.	Amy Tran, Administrative Coordinator	Terrolyn Gunter, Asst Business Administrator - Finance
2	Reconciling cash, checks, etc. to receipts.	Amy Tran, Administrative Coordinator	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	Amy Tran, Administrative Coordinator	Terrolyn Gunter, Asst Business Administrator - Finance
4	Preparing Journal Entries.	Amy Tran, Administrative Coordinator	Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System	Amy Tran, Administrative Coordinator	Khanh Nguyen, Financial Analyst 2
6	Adequacy of physical safeguards of cash receipts and	Amy Tran, Administrative Coordinator	Khann Nguyen, I maneral Anaryst 2
0	equivalent.	Any Itan, Administrative Coordinator	Terrolyn Gunter, Asst Business Administrator - Finance
7	Secure deposits via UHDPS to Student Financial Services.	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	Ensuring deposits are made timely	Kathy Dominguez, Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
9	Ensuring all employees who handle cash have completed Cash	Kathy Dominguez, Dept Business Administrator	
-	Security Procedures or Cash Deposit and Security Procedures		
	training.		Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	Kathy Dominguez, Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
11	Distribution of Cash Handling Procedures to employees who	Kathy Dominguez, Dept Business Administrator	
	handle cash.		Terrolyn Gunter, Asst Business Administrator - Finance
12	Consistent and efficient responses to inquiries.	Kathy Dominguez, Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
PETTY	CASH		
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	
			N/A
3	Ensuring petty cash disbursements are made for only authorized	N/A	
	purposes.		N/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely	N/A	N/A
6	Ensuring the petty cash fund is balanced after each	N/A	
	disbursement.		N/A
CONT	RACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract	Kathy Dominguez, Dept Business Administrator	
	administration policies/procedures.		Terrolyn Gunter, Asst Business Administrator - Finance
PROPE	ERTY MANAGEMENT		
1	Performing the annual inventory	Kathy Dominguez, Dept Business Administrator	Zoila Parra, Bauer IT Dept Business Administrator
2	Ensuring the annual inventory was completed correctly	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
3	Tagging equipment.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
4	Approving requests for removal of equipment from campus.		
		Frank Kelley, Associate Dean	Sara Brown, Director, College Business Operations
DISCL	OSURE FORMS		
1	Ensuring all employees with purchasing influence complete the	Terrolyn Gunter, Asst Business Administrator - Finance	
	annual Related Party disclosure statement online.		
			Sara Brown, Director, College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff		
	complete the Consulting disclosure statement online	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Ensuring that all Principal and Co-Principal Investigators	Kathy Dominguez, Dept Business Administrator	
	complete the annual Conflict of Interest disclosure statement for	•	
	the Division of Research.		Sara Brown, Director, College Business Operations

# Bauer Undergraduate Programs Baseline Standards FY 2015

	UNTS 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
IEGA	TIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive	Khanh Nguyen, Financial Analyst 2	
	fund equity at year-end.		Sara Brown, Director, College Business Operations
2	Ensuring that research expenditures are covered by funds from	Khanh Nguyen, Financial Analyst 2	
	sponsors.		Sara Brown, Director, College Business Operations
DEPAI	RTMENTAL COMPUTING		
1	Management of the departments' information technology		
	resources.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
2	Ensuring that critical data back up occurs.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
3	Ensuring that procedures such as password controls are		
	followed.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
4	Reporting of suspected security violations.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs

## Marketing (H0049), Sales Excellence Institute (H0435) & Wolff Ctr. For Entrepreneurship (H0056) Baseline Standards FY2015

	at a set D and a set it it is a	Responsible Perso Primary (Required)	Secondary (Optional)
JLI AR	otion of Responsibility TMENTAL POLICIES & PROCEDURES / BASELINE	Filliary (Required)	Secondary (Optional)
TANT			
	DARDS		
	Ensuring the Departmental Policy and Procedures manual is current.	Marie Tighe, DBA	Ed Blair
2	Updating the Baseline Standards Form.	Marie Tighe, DBA	Sara Brown, Director, College Business Operations
NAN	CIAL REPORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Reviewing cost center verifications.	Ed Blair, Chair/Marie Tighe, DBA (H0049);Ed Blair/Saira Nadeem, Prog. Mgr. (H0435), Ed Blair/Annepha Pemberton, Ofc. Coord. (H0056)	Sara Brown, Director, College Business Operations
3	Approving cost center verifications.	Ed Blair, Chair/Marie Tighe, DBA	Sara Brown, Director, College Business Operations
4	Ensuring all cost centers are verified/approved on a timely basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
INAN	CIAL REPORTING - EXPENDITURE TRANSACTIONS	Sala Brown, Brieton, Conege Basiness Operations	Dana Hanonana, Doan
1	Ensuring valid authorization of purchase documents.		
		Marie Tighe, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
2	Ensuring the validity of travel and expense reimbursements.	Marie Tighe, DBA/Linda Monita, Ofc. Coord.(H0049);Saira Nadeem, Prog. Mgr.(H0435);Annepha Pemberton (H0056);Ed Blair, Chair - all	Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely payment is made.	Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc. Coord. (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
4	Ensuring correct account coding on purchases documents.	Marie Tighe, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
5	Primary contact for inquiries to expenditure transactions.	Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc. Coord. (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
AYRO	DLL / HUMAN RESOURCES		
		Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049):Saira	
AYRO 1	Ensuring all bi-weekly reported time and leave are approved	Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mar. (H0435). Appender Pemberton, Ofc.	
	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are	Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc.	Pahaoon Guymon Asst Businase Administrator Admin
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.		Rebecca Guzman, Asst Business Administrator - Admin
	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. Ensuring all monthly leave is recorded accurately and approvec	Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc. Coord. (H0056)	
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1 2 3	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. Ensuring all monthly leave is recorded accurately and approvec before the deadlines set by Payroll. Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc. Coord. (H0056) Marie Tighe, DBA Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc.	Rebecca Guzman, Asst Business Administrator - Admin
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1 2 3	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. Ensuring all monthly leave is recorded accurately and approvec before the deadlines set by Payroll. Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc. Coord. (H0056) Marie Tighe, DBA Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc.	Rebecca Guzman, Asst Business Administrator - Admin Rebecca Guzman, Asst Business Administrator - Admin
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CASH H	IANDLING		
1	Collecting cash, checks, etc.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
		Annepha Pemberton (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
2	Reconciling cash, checks, etc. to receipts.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
		Annepha Pemberton (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
		Annepha Pemberton (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
4	Preparing Journal Entries.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
		Annepha Pemberton (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
	, , , , , , , , , , , , , , , , , , , ,	Annepha Pemberton (H0056)	Khanh Nguyen, Financial Analyst 2
6	Adequacy of physical safeguards of cash receipts and equivalent	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
	1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1	Annepha Pemberton (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
7	Secure deposits via UHDPS to Student Financial Services.		
'	becare deposits the official of obtacent i manental bet tices.	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	Ensuring deposits are made timely.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	Sarah Kole, Financial Coordinator 2
0	Ensuring deposits are made timely.	Annepha Pemberton (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
0			Terroryn Guiner, Asst Business Administrator - Finance
9	Ensuring all employees who handle cash have completed Cash	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
	Security Procedures or Cash Deposit and Security Procedures	Annepha Pemberton (H0056)	
	training.		Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
		Annepha Pemberton (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
11	Distribution of Cash Handling Procedures to employees who	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
	handle cash.	Annepha Pemberton (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
12	Consistent and efficient responses to inquiries.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
		Annepha Pemberton (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
PETTY	CASH		
1	Preparing petty cash disbursements.	N/A	
-			N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	A 17 A A
2	Ensuring petty cash disoursements are not for more than \$100.	IVA	N/A
3	Ensuring petty cash disbursements are made for only authorized	N/A	1071
3		N/A	N/A
	purposes.	37/4	N/A
4	Approving petty cash disbursements.	N/A	N7/4
	N 1 111 1 1 4 1 1	N.T.(.)	N/A
5	Replenishing the petty cash fund timely.	N/A	
			N/A
6	Ensuring the petty cash fund is balanced after each disbursement	N/A	
			N/A
CONTR	ACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435),	
	administration policies/procedures	Annepha Pemberton, Ofc. Coord. (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
PROPE	RTY MANAGEMENT		
1	Performing the annual inventory.	Linda Monita, Ofc. Coord. (H0049), Saira Nadeem, Prog.	
•	8/·	Mgr. (H0435); Annepha Pemberton, Ofc. Coord. (H0056)	Zoila Parra, Bauer IT Dept Business Administrator
2	Ensuring the annual inventory was completed correctly.	Mgr. (110455), Annepha Femberton, Ole. Coold. (110050)	Bond Fairly, Buder IT Bept Busiless Hammistator
-	insume the annual inventory was completed collectly.	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
3	Ti	Zona i ana, bauci i i bepi business Aunimistrator	Sara Brown, Director, Conege Business Operations
5	Tagging equipment.	Zoile Bassa Baues IT Dant Buringer A Junimistante	Patas Teucna, Intasim Dispata - Dour Diver - C.T h
<u> </u>		Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
4	Approving requests for removal of equipment from campus.		
		Ed Blair, Dept. Chair	Sara Brown, Director, College Business Operations
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the	Terrolyn Gunter, Asst Business Administrator - Finance	
	annual Related Party disclosure statement online		Sara Brown, Director, College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff		
	complete the Consulting disclosure statement online	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Ensuring that all Principal and Co-Principal Investigators	Ed Blair, Dept. Chair; Marie Tighe, DBA	
-	complete the annual Conflict of Interest disclosure statement for		
[	the Division of Research		Sara Brown, Director, College Business Operations
	the Division of Research		,,

ACCOL	INTS RECEIVABLE		
ACCOL	JN15 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	N7/1
NECLO	TVE BALANCES		N/A
NEGAI	IVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive	Khanh Nguyen, Financial Analyst 2	
1	fund equity at year-end	Khaini Nguyen, Filanciai Anaiyst 2	Sara Brown, Director, College Business Operations
2	Ensuring that research expenditures are covered by funds from	Khanh Nguyen, Financial Analyst 2	
_	sponsors.		Sara Brown, Director, College Business Operations
DEPAR	TMENTAL COMPUTING		
1	Management of the departments' information technology		
	resources.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
2	Ensuring that critical data back up occurs.		
		Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
3	Ensuring that procedures such as password controls are followed		
		Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
4	Reporting of suspected security violations.		
		Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs

Responsible Person(s) (1	Name/Title)
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Descri	ption of Responsibility	Primary (Required)	erson(s) (Name/Title) Secondary (Optional)
	RTMENTAL POLICIES & PROCEDURES / BASELINE	Timary (Requireu)	Secondary (Optional)
	DARDS		
1	Ensuring the Departmental Policy and Procedures manual is	Jeremy Warren, DBA	
1	current.	Jerenny Warren, DDA	Jamie Belinne, Assistant Dean
2	Updating the Baseline Standards Form.	Jeremy Warren, DBA	Jamie Dennie, Assistant Dean
2	Opualing the Dasenne Standards Form.	Jeleniy wallen, DDA	Sara Brown, Director, College Business Operations
	VCIAL REPORTING - COST CENTER VERIFICATIONS		Sata Brown, Director, Conege Business Operations
FIINAI	CIAL REFORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.		
1	Freparing cost center vernications.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Deviewing and antenneiting	Khann Nguyen, Financiai Anaryst 2	Sata Blown, Director, Conege Business Operations
2	Reviewing cost center verifications.	Lauren Warman DDA	Sam Brown Director Callers Broinces Occurtions
2	4 · , , , , , , , , , , , , , , , , , ,	Jeremy Warren, DBA	Sara Brown, Director, College Business Operations
3	Approving cost center verifications.		
	Pro 1 44 104 4/ 4 .1 4	Jeremy Warren, DBA / Jamie Belinne, Asst. Dean	Sara Brown, Director, College Business Operations
4	Ensuring all cost centers are verified/approved on a timely		
	basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
FINA	NCIAL REPORTING - EXPENDITURE TRANSACTIONS		
1		L W DDA	
1	Ensuring valid authorization of purchase documents.	Jeremy Warren, DBA	
			Terrolyn Gunter, Asst Business Administrator - Finance
2	Ensuring the validity of travel and expense reimbursements.	Jeremy Warren, DBA	
			Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely	Jeremy Warren, DBA	
	payment is made.		Terrolyn Gunter, Asst Business Administrator - Finance
4	Ensuring correct account coding on purchases documents.	Jeremy Warren, DBA	
			Terrolyn Gunter, Asst Business Administrator - Finance
5	Primary contact for inquiries to expenditure transactions.	Jeremy Warren, DBA	
			Terrolyn Gunter, Asst Business Administrator - Finance
PAYR	OLL / 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.	Jeremy Warren, DBA	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and		
	approved before the deadlines set by Payroll.	Jeremy Warren, DBA	Rebecca Guzman, Asst Business Administrator - Admin
3	Ensuring all TRAM high level exceptions are corrected in a		
	timely manner prior to Payroll deadlines.	Jeremy Warren, DBA	Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers)		
	are assigned to Time Approvers in TRAM.	Jeremy Warren, DBA	Rebecca Guzman, Asst Business Administrator - Admin
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.	Jeremy Warren, DBA	Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination	· · ·	
	and completing the termination clearance form.	Jeremy Warren, DBA	Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to	ž 1/	
	departmental cost centers.	Jeremy Warren, DBA	Khanh Nguyen, Financial Analyst 2
	berline in the second	Jeremy Warren, DBA	······································
	Maintaining departmental personnel files.		Melissa Niles, College Business Administrator
9		Jeremy Warren, DBA	
	Consistent and efficient responses to inquiries.	scony muton, DDA	Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start	Jeremy Warren, DBA	Henosa Prices, Conege Business Administration
10	date.	Jeremy Waren, DDA	Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are	Jeremy Warren, DBA	menssa mies, conege busilless Autimistator
11	completed 48 hours prior to necessary access changes.	Jeremy wanen, DBA	Malissa Nilas, Collaga Business, Administrator
	completed 46 nours prior to necessary access changes.		Melissa Niles, College Business Administrator

CASH I	HANDLING		
1	Collecting cash, checks, etc.	Jeremy Warren, DBA	
	-	•	Terrolyn Gunter, Asst Business Administrator - Finance
2	Reconciling cash, checks, etc. to receipts.	Jeremy Warren, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	Jeremy Warren, DBA	Performance, Plast Business Frammatucor Timuree
4	Preparing Journal Entries.	Jeremy Warren, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
7	reparing Journal Entries.	Sciency Walten, DDA	Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System.	Jeremy Warren, DBA	Khanh Nguyen, Financial Analyst 2
6	Adequacy of physical safeguards of cash receipts and	Jeremy Warren, DBA	Kilaini Nguyen, Financiai Anaryst 2
7	equivalent. Secure deposits via UHDPS to Student Financial Services.		Terrolyn Gunter, Asst Business Administrator - Finance
7	Secure deposits via UHDPS to Student Financial Services.	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	Ensuring deposits are made timely.	Jeremy Warren, DBA	
9	Ensuring all employees who handle cash have completed Cash	Jeremy Warren, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
	Security Procedures or Cash Deposit and Security Procedures		
10	training. Updating Cash Handling Procedures as needed.	Jeremy Warren, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
		•	Terrolyn Gunter, Asst Business Administrator - Finance
11	Distribution of Cash Handling Procedures to employees who handle cash.	Jeremy Warren, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
12	Consistent and efficient responses to inquiries.	Jeremy Warren, DBA	Terroryn Gunter, Asst Business Administrator Timanee
PETTY	CASU		Terrolyn Gunter, Asst Business Administrator - Finance
ILIII	CASII		
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	IV/A
		NY/A	N/A
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
4	Approving petty cash disbursements.	N/A	NT/ A
5	Replenishing the petty cash fund timely.	N/A	N/A
			N/A
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
CONTR	ACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract	Jeremy Warren, DBA	
	administration policies/procedures.		Terrolyn Gunter, Asst Business Administrator - Finance
PROPE	RTY MANAGEMENT		
1	Performing the annual inventory.	Jeremy Warren, DBA	
2	Ensuring the annual inventory was completed correctly.		Zoila Parra, Bauer IT Dept Business Administrator
		Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
3	Tagging equipment.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
4	Approving requests for removal of equipment from campus.		reter friend, merini biretor, bauer biv or feelillology
DISCL		Jamie Belinne, Asst. Dean	Sara Brown, Director, College Business Operations
DISCLU	OSURE FORMS		
1	Ensuring all employees with purchasing influence complete	Terrolyn Gunter, Asst Business Administrator - Finance	Sam Drawn Dimeter Callers Duringer One of
2	the annual Related Party disclosure statement online. Ensuring all full time, benefits eligible, exempt faculty and		Sara Brown, Director, College Business Operations
	staff complete the Consulting disclosure statement online.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement	Jeremy Warren, DBA	
	for the Division of Research.		Sara Brown, Director, College Business Operations

ACCOU	UNTS 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
NEGA	TIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Director, College Business Operations
DEPAR	RTMENTAL COMPUTING		
1	Management of the departments' information technology resources.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
2	Ensuring that critical data back up occurs.	Peter Truong, Interim Director, Bauer Div of Technology	Thomas Noland, Associate Dean for Faculty Affairs
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