Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	Melissa Niles, College Business Administrator	Sara Brown, Director, College Business Operations
2	Updating the Baseline Standards Form.	Sara Brown, Director, College Business Operations	Melissa Niles, College Business Administrator
FINANCIAL 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 basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Sarah Kole, Financial Coordinator 2	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	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
PAYROLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	Alejandra Rodriguez, Asst Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approved 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 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 off-cycle payrolls.	Alejandra Rodriguez, Asst Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination 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	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 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

		Responsible Person(s) (Name/Title)	
	Description of Responsibility	**Primary (Required)**	**Secondary (Optional)**
	CASH HANDLING		
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 Lori Watley, Office Supervisor	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	Nichole Grover, Development Coordinator 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.	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	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 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.	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	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
	CONTRACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Sarah Kole, Financial Coordinator 2	Terrolyn Gunter, Asst Business Administrator - Finance
	PROPERTY MANAGEMENT		
1	Performing the annual inventory.	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.	Zoila Parra, Bauer IT Dept Business Administrator	Peter Truong, Interim Director, Bauer Div of Technology
4	Approving requests for removal of equipment from campus.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
	DISCLOSURE 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.	Sara Brown, Director, College Business Operations	Khanh Nguyen, Financial Analyst 2

	Description of Responsibility	Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
	ACCOUNTS 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
	NEGATIVE 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
	DEPARTMENTAL 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

	Description of Responsibility	Responsible Person(s) (Name/Title)	
		Primary (Required)	**Secondary (Optional)**
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	Calyon Lewis, DBA	James Phillips, Chair
2	Updating the Baseline Standards Form.	Calyon Lewis, DBA	Sara Brown, Director, College Business Operations
FINANCIAL 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.	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
FINANCIAL 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 payment is made.	Calyon Lewis, DBA	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
PAYROLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	Calyon Lewis, DBA	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Calyon Lewis, DBA	Rebecca Guzman, Asst Business Administrator - Admin
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Calyon Lewis, DBA	Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Calyon Lewis, 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.	Calyon Lewis, DBA	Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Calyon Lewis, DBA	Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Calyon Lewis, DBA	Khanh Nguyen, Financial Analyst 2
8	Maintaining departmental personnel files.	Calyon Lewis, DBA	Melissa Niles, College Business Administrator
9	Consistent and efficient responses to inquiries.	Calyon Lewis, DBA	Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start date.	Calyon Lewis, DBA	Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Calyon Lewis, DBA	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
	CONTRACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Calyon Lewis, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
	PROPERTY 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
	DISCLOSURE 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

	ACCOUNTS RECEIVABLE		
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
	NEGATIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	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
	DEPARTMENTAL 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

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

CASH HANDLING			
1	Collecting cash, checks, etc.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
2	Reconciling cash, checks, etc. to receipts.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	Linda Guerrero, DBA Cathy Hutzell, PC	Terrolyn Gunter, Asst Business Administrator - Finance
4	Preparing Journal Entries.	Linda Guerrero, DBA Cathy Hutzell, PC	Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System.	Linda Guerrero, DBA Cathy Hutzell, PC	Khanh Nguyen, Financial Analyst 2
6	Adequacy of physical safeguards of cash receipts and equivalent.	Linda Guerrero, DBA Cathy Hutzell, PC	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.	Linda Guerrero, DBA Cathy Hutzell, PC	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.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
11	Distribution of Cash Handling Procedures to employees who handle cash.	Linda Guerrero, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
12	Consistent and efficient responses to inquiries.	Linda Guerrero, 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
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Cecilia Sanchez, OC Linda Guerrero, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Cecilia Sanchez, OC Linda Guerrero, 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.	Kaye Newberry, Chair	Sara Brown, Director, College Business Operations
DISCLOSURE 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.	Linda Guerrero, DBA	Sara Brown, Director, College Business Operations

ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	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
DEPARTMENTAL 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

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Everette Gardner, Chair, Decision and Information Sciences
2	Updating the Baseline Standards Form.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Sara Brown, Director, College Business Operations
FINANCIAL 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.	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 basis.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	LaToya Brannon, Department Business Administrator, 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 payment is made.	LaToya Brannon, Department Business Administrator, 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, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
PAYROLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	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.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to departmental cost centers.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Khanh Nguyen, Financial Analyst 2
8	Maintaining departmental personnel files.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Melissa Niles, College Business Administrator
9	Consistent and efficient responses to inquiries.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start date.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Melissa Niles, College Business Administrator

	CASH HANDLING		
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.	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	Ensuring deposits are made timely.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	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.	LaToya Brannon, Department Business Administrator, Decision and Information Sciences	Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	LaToya Brannon, Department Business Administrator, 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
	CONTRACT 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
	PROPERTY 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
	DISCLOSURE 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

ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	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
DEPARTMENTAL 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) (Name/Title)

Description of Responsibility	Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS		
1 Ensuring the Departmental Policy and Procedures manual is current.	Fallon Leverson, Assistant Business Administrator	Michelle Poullard, Director, Academic Operations
2 Updating the Baseline Standards Form.	Fallon Leverson, Assistant Business Administrator	Sara Brown, Director, College Business Operations
FINANCIAL 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.	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
FINANCIAL 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 payment is made.	Fallon Leverson, Assistant Business Administrator	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
PAYROLL / HUMAN RESOURCES		
1 Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	Fallon Leverson, Assistant Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
2 Ensuring all monthly leave is recorded accurately and 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 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 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 Maintaining departmental personnel files.	Fallon Leverson, Assistant Business Administrator	Melissa Niles, College Business Administrator
9 Consistent and efficient responses to inquiries.	Fallon Leverson, Assistant Business Administrator	Melissa Niles, College Business Administrator
10 Hire ePAR's should be processed at least 1 week prior to start date.	Fallon Leverson, Assistant Business Administrator	Melissa Niles, College Business Administrator
11 Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Fallon Leverson, Assistant Business Administrator	Melissa Niles, College Business Administrator

	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 training.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
11	Distribution of Cash Handling Procedures to employees who handle cash.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
12	Consistent and efficient responses to inquiries.	Fallon Leverson, Assistant 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 disbursement.	N/A	N/A
	CONTRACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Fallon Leverson, Assistant Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
	PROPERTY 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
	DISCLOSURE 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

ACCOUNTS 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	Michelle Poullard, Director, Academic Operations
5	Monitoring credit extended.	Fallon Leverson, Assistant Business Administrator	Michelle Poullard, Director, Academic Operations
6	Approving write-offs.	Fallon Leverson, Assistant Business Administrator	Michelle Poullard, Director, Academic Operations
NEGATIVE 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
DEPARTMENTAL 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 Division of Technology
Baseline Standards
FY 2015

Description of Responsibility	Responsible Person(s) (Name/Title)	
	Primary (Required)	Secondary (Optional)
DEPARTMENTAL 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 Operations
FINANCIAL 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	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
3 Approving cost center verifications	Zoila Parra, Bauer IT Dept Business Administrator	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
FINANCIAL 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
PAYROLL / HUMAN RESOURCES		
1 Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	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 approved before the deadlines set by Payroll.	Zoila Parra, Bauer IT 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.	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
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.	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 Consistent and efficient responses to inquiries	Zoila Parra, Bauer IT Dept Business Administrator	Melissa Niles, College Business Administrator
10 Hire ePAR's should be processed at least 1 week prior to start date.	Zoila Parra, Bauer IT Dept Business Administrator	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	Melissa Niles, College Business Administrator

	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 Operations
3	Preparing deposits.	Terrolyn Gunter, Asst Business Administrator - Finance	Sara Brown, Director, College Business Operations
4	Preparing Journal Entries.	Zoila Parra, Bauer IT Dept Business Administrator & DeAun 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 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.	Zoila Parra, Bauer IT Dept Business Administrator & DeAun Ardoin, Office Assistant I	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.	Zoila Parra, Bauer IT Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed	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.	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	N/A	N/A
	CONTRACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures	Zoila Parra, Bauer IT Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
	PROPERTY 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 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.	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations
	DISCLOSURE 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	Zoila Parra, Bauer IT Dept Business Administrator	Sara Brown, Director, College Business Operations

ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended	N/A	N/A
6	Approving write-offs.	N/A	N/A
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end	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
DEPARTMENTAL 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

	Description of Responsibility	Responsible Person(s) (Name/Title)	
		Primary (Required)	**Secondary (Optional)**
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	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
FINANCIAL 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 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
FINANCIAL 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	Terrolyn Gunter, Asst Business Administrator - Finance
3	Ensuring that goods and services are received and that timely payment is made.	Anesia Lamont Finance Dept Business Administrator	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
PAYROLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	Anesia Lamont Finance Dept Business Administrator/ Ieshia Deal Finance Dept Office Coordinator	Rebecca Guzman, Asst Business Administrator - Admin
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Anesia Lamont Finance 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.	Anesia Lamont Finance 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.	Anesia Lamont Finance 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.	Anesia Lamont Finance 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.	Anesia Lamont Finance Dept Business Administrator	Rebecca Guzman, Asst Business Administrator - Admin
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Anesia Lamont Finance Dept Business Administrator	Khanh Nguyen, Financial Analyst 2
8	Maintaining departmental personnel files.	Anesia Lamont Finance Dept Business Administrator/ Ieshia Deal Finance Dept Office Coordinator	Melissa Niles, College Business Administrator
9	Consistent and efficient responses to inquiries.	Anesia Lamont Finance Dept Business Administrator/ Ieshia Deal Finance Dept Office Coordinator	Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start date.	Anesia Lamont Finance Dept Business Administrator	Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Anesia Lamont Finance Dept Business Administrator	Melissa Niles, College Business Administrator

CASH 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.	Terrolyn Gunter, Asst Business Administrator - Finance	Sarah Kole, Financial Coordinator 2
8	Ensuring deposits are made timely.	Anesia Lamont Finance Dept 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 training.	Anesia Lamont Finance Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	Anesia Lamont Finance Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
11	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 disbursement.	N/A	N/A
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Anesia Lamont Finance Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Anesia Lamont Finance Dept Business Administrator/ Ieshia Deal Finance Dept Office Coordinator	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.	Praveen Kunmar Chairperson, Department of Finance	Sara Brown, Director, College Business Operations
DISCLOSURE 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

	ACCOUNTS RECEIVABLE		
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
	NEGATIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	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
	DEPARTMENTAL 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) (Name/Title)	
Description of Responsibility		**Primary (Required)**	**Secondary (Optional)**
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE			
1	Ensuring the Departmental Policy and Procedures manual is current.	Frank Kelley, Associate Dean	Kathy Dominguez, Dept Business Administrator
2	Updating the Baseline Standards Form.	Kathy Dominguez, Dept Business Administrator	Sara Brown, Director, College Business Operations
FINANCIAL 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
FINANCIAL 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 payment is made.	Amy Tran, Administrative Coordinator	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
PAYROLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	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 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 date.	Kathy Dominguez, Dept Business Administrator	Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are 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 equivalent.	Amy Tran, 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 Security Procedures or Cash Deposit and Security Procedures training.	Kathy Dominguez, Dept Business Administrator	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 handle cash.	Kathy Dominguez, Dept Business Administrator	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 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

CONTRACT ADMINISTRATION

1	Ensuring departmental personnel comply with contract administration policies/procedures.	Kathy Dominguez, Dept Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance

PROPERTY 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

DISCLOSURE 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.	Kathy Dominguez, Dept Business Administrator	Sara Brown, Director, College Business Operations

Submitted: 8/29/14

	ACCOUNTS RECEIVABLE		
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
	NEGATIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	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
	DEPARTMENTAL 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
Responsible Person(s) (Name/Title)

Description of Responsibility	Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS		
1 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
FINANCIAL 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
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS		
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
PAYROLL / HUMAN RESOURCES		
1 Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc. Coord. (H0056)	Rebecca Guzman, Asst Business Administrator - Admin
2 Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Marie Tighe, DBA	Rebecca Guzman, Asst Business Administrator - Admin
3 Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc.	Rebecca Guzman, Asst Business Administrator - Admin
4 Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc.	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.	Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc. Coord. (H0056)-BW; Monthly - Marie Tighe, DBA	Rebecca Guzman, Asst Business Administrator - Admin
6 Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Marie Tighe, DBA (H0049), Saira Nadeem, Prog. Mgr., H0435, Annepha Pemberton, Ofc. Coord. (H0056)	Rebecca Guzman, Asst Business Administrator - Admin
7 Ensuring terminated employees are no longer charged to departmental cost centers.	Marie Tighe, DBA/Linda Monita, Ofc. Coord. (H0049);Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc. Coord. (H0056)-BW; Monthly - Marie Tighe, DBA	Khanh Nguyen, Financial Analyst 2
8 Maintaining departmental personnel files.	Marie Tighe, DBA	Melissa Niles, College Business Administrator
9 Consistent and efficient responses to inquiries.	Marie Tighe, DBA	Melissa Niles, College Business Administrator
10 Hire ePAR's should be processed at least 1 week prior to start date.	Marie Tighe, DBA (H0049), Saira Nadeem, Prog. Mgr., H0435, Annepha Pemberton, Ofc. Coord. (H0056)	Melissa Niles, College Business Administrator
11 Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Marie Tighe, DBA	Melissa Niles, College Business Administrator

	CASH HANDLING		
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), Annepha Pemberton (H0056)	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.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton (H0056)	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.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton (H0056)	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 handle cash.	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435), 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	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
	CONTRACT ADMINISTRATION		
1	Ensuring departmental personnel comply with contract administration policies/procedures	Marie Tighe, DBA; Saira Nadeem, Prog. Mgr. (H0435), Annepha Pemberton, Ofc. Coord. (H0056)	Terrolyn Gunter, Asst Business Administrator - Finance
	PROPERTY MANAGEMENT		
1	Performing the annual inventory.	Linda Monita, Ofc. Coord. (H0049), Saira Nadeem, Prog. Mgr. (H0435); Annepha Pemberton, Ofc. Coord. (H0056)	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.	Ed Blair, Dept. Chair	Sara Brown, Director, College Business Operations
	DISCLOSURE 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	Ed Blair, Dept. Chair; Marie Tighe, DBA	Sara Brown, Director, College Business Operations

	ACCOUNTS RECEIVABLE		
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
	NEGATIVE BALANCES		
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end	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
	DEPARTMENTAL 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

	Description of Responsibility	Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	Jeremy Warren, DBA	Jamie Belinne, Assistant Dean
2	Updating the Baseline Standards Form.	Jeremy Warren, DBA	Sara Brown, Director, College Business Operations
FINANCIAL 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.	Jeremy Warren, DBA	Sara Brown, Director, College Business Operations
3	Approving cost center verifications.	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
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
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 payment is made.	Jeremy Warren, DBA	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
PAYROLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payroll, so that the correct hours are recorded and paid on each bi-weekly paycheck.	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 departmental cost centers.	Jeremy Warren, DBA	Khanh Nguyen, Financial Analyst 2
8	Maintaining departmental personnel files.	Jeremy Warren, DBA	Melissa Niles, College Business Administrator
9	Consistent and efficient responses to inquiries.	Jeremy Warren, DBA	Melissa Niles, College Business Administrator
10	Hire ePAR's should be processed at least 1 week prior to start date.	Jeremy Warren, DBA	Melissa Niles, College Business Administrator
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Jeremy Warren, DBA	Melissa Niles, College Business Administrator

CASH 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	Terrolyn Gunter, Asst Business Administrator - Finance
4	Preparing Journal Entries.	Jeremy Warren, DBA	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 equivalent.	Jeremy Warren, DBA	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	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.	Jeremy Warren, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
10	Updating Cash Handling Procedures as needed.	Jeremy Warren, DBA	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	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
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Jeremy Warren, DBA	Terrolyn Gunter, Asst Business Administrator - Finance
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Jeremy Warren, 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
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DISCLOSURE 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.	Jeremy Warren, DBA	Sara Brown, Director, College Business Operations

ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	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
DEPARTMENTAL 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