

RICS - H0043
Baseline Standards
FY 2018

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT
2	Updating the Baseline Standards Form.	Melissa Niles, College Business Administrator	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Executive Director, College of Business Operations
2	Reviewing cost center verifications.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Executive Director, College of Business Operations
3	Approving cost center verifications.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Executive Director, College of Business Operations
4	Ensuring all cost centers are verified/approved on a timely basis.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Executive Director, College of Business Operations
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Francisco Lopez, Department Business Administrator	
2	Ensuring the validity of travel and expense reimbursements.	Francisco Lopez, Department Business Administrator	
3	Ensuring that goods and services are received and that timely payment is made.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT
4	Ensuring correct account coding on purchases documents.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT
5	Primary contact for inquiries to expenditure transactions.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT
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.	Francisco Lopez, Department Business Administrator	Alejandra Rodriguez, Asst. Bus. Admin
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Khanh Nguyen, Financial Analyst 2	Alejandra Rodriguez, Asst. Bus. Admin
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Francisco Lopez, Department Business Administrator	Alejandra Rodriguez, Asst. Bus. Admin
4	Completing termination clearance procedures.	Francisco Lopez, Department Business Administrator	
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Francisco Lopez, Department Business Administrator	Khanh Nguyen, Financial Analyst
6	Maintaining departmental Personnel files.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT
7	Ensuring valid authorization of new hires.	Francisco Lopez, Department Business Administrator	
8	Ensuring valid authorization of changes in compensation rates.	Melissa Niles, College Business Administrator	Alejandra Rodriguez, Asst. Bus. Admin
9	Ensuring the accurate input of changes to the HR System.	Francisco Lopez, Department Business Administrator	Melissa Niles, College Business Administrator
10	Consistent and efficient responses to inquiries.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT

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CASH HANDLING			
1	Collecting cash, checks, etc.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT
2	Reconciling cash, checks, etc. to receipts.	Andrew Nguyen - Financial Assistant II	Terrolyn Gunter, Asst Business Administrator - Finance
3	Preparing deposits.	Andrew Nguyen - Financial Assistant II	Terrolyn Gunter, Asst Business Administrator - Finance
4	Preparing Journal Entries.	Andrew Nguyen - Financial Assistant II	Terrolyn Gunter, Asst Business Administrator - Finance
5	Verifying deposits posted correctly in the Finance System.	Khanh Nguyen, Financial Analyst 2	Terrolyn Gunter, Asst Business Administrator - Finance
6	Adequacy of physical safeguards of cash receipts and equivalent.	Terrolyn Gunter, Asst Business Administrator - Finance	Andrew Nguyen - Financial Assistant II
7	Secure deposits via UHDPS to Student Financial Services.	Terrolyn Gunter, Asst Business Administrator - Finance	Andrew Nguyen - Financial Assistant II
8	Ensuring deposits are made timely.	Francisco Lopez, Department 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.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT
10	Updating Cash Handling Procedures as needed.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT
11	Distribution of Cash Handling Procedures to employees who handle cash.	Francisco Lopez, Department Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
12	Consistent and efficient responses to inquiries.	Francisco Lopez, Department Business Administrator	DeAun Ardoin, Office Coord, Bauer IT
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.	Francisco Lopez, Department Business Administrator	Terrolyn Gunter, Asst Business Administrator - Finance
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	DeAun Ardoin, Office Coord, Bauer IT	
2	Ensuring the annual inventory was completed correctly.	DeAun Ardoin, Office Coord, Bauer IT	
3	Tagging equipment.	DeAun Ardoin, Office Coord, Bauer IT	
4	Approving requests for removal of equipment from campus.	Melissa Niles, College Business Administrator	Sara Brown, Executive Director, College of Business Operations
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Francisco Lopez, Department Business Administrator	Melissa Niles, College Business Administrator
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Melissa Niles, College Business Administrator	Sara Brown, Executive Director, College of Business Operations
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Melissa Niles, College Business Administrator	Sara Brown, Executive Director, College of Business Operations

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ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	
2	Billing.	N/A	
3	Collection.	N/A	
4	Recording.	N/A	
5	Monitoring credit extended.	N/A	
6	Approving write-offs.	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, Executive Director, College of Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	Khanh Nguyen, Financial Analyst 2	Sara Brown, Executive Director, College of Business Operations
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Charles Morgan, Director of Bauer Technology	Michael Rodriguez, Manager, Coll/Div Info Services
2	Ensuring that critical data back up occurs.	Hina Khan, Systems Analyst 3	Charles Morgan, Director of Bauer Technology
3	Ensuring that procedures such as password controls are followed.	Michael Rodriguez, Manager, Coll/Div Info Services	Hina Khan, Systems Analyst 3
4	Reporting of suspected security violations.	Charles Morgan, Director of Bauer Technology	