## RICS Department - H0043 Baseline Standards FY 2019

		Responsible Person(s) (Name/Title)		
	tion of Responsibility	Primary (Required)	Secondary (Optional)	
DEPAR	TMENTAL POLICIES & PROCEDURES / BASELINE			
TANE	DARDS			
1	Ensuring the Departmental Policy and Procedures manual is	Francisco Lopez, Department	DeAun Ardoin, Purchasing IT	
	current.	Business Manager	Coordinator	
2	Updating the Baseline Standards Form.	Francisco Lopez, Department	Milissa Niles, College Business	
		Business Manager	Administrator	
INAN	CIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Khanh Nguyen, Financial Analyst	Sara Brown, Executive Director,	
•		2	College of Business Operations	
2	Reviewing cost center verifications.	Khanh Nguyen, Financial Analyst	Sara Brown, Executive Director,	
		2	College of Business Operations	
3	Approving cost center verifications.	- Khanh Nguyen, Financial Analyst	Sara Brown, Executive Director,	
		2	College of Business Operations	
4	Ensuring all cost centers are verified/approved on a timely	Khanh Nguyen, Financial Analyst	Sara Brown, Executive Director,	
-	basis.	2	College of Business Operations	
INAN	CIAL REPORTING - EXPENDITURE TRANSACTIONS		0	
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1	Ensuring valid authorization of purchase documents.	DeAun Ardoin, Purchasing IT	Francisco Lopez, Department	
	une automation of parenase documents.	Coordinator	Business Manager	
2	Ensuring the validity of travel and expense reimbursements.	Francisco Lopez, Department	Francisco Lopez, Department	
-		Business Manager	Business Manager	
3	Ensuring that goods and services are received and that timely	DeAun Ardoin, Purchasing IT	Francisco Lopez, Department	
e	payment is made.	Coordinator	Business Manager	
4	Ensuring correct account coding on purchases documents.	DeAun Ardoin, Purchasing IT	Francisco Lopez, Department	
7	Ensuring correct account county on purchases documents.	Coordinator	Business Manager	
5	Primary contact for inquiries to expenditure transactions.	Francisco Lopez, Department	DeAun Ardoin, Purchasing IT	
U		Business Manager	Coordinator	
PAYRO	DLL / HUMAN RESOURCES			
1	Ensuring all bi-weekly reported time and leave are approved	Francisco Lopez, Department		
	before the deadlines set by Payroll, so that the correct hours are		Alejandra Rodriguez, Asst. Bus.	
	recorded and paid on each bi-weekly paycheck.	2 usiness munger	Admin	
2	Ensuring all monthly leave is recorded and approved before the	Francisco Lonaz Dopartment	Alejandra Rodriguez, Asst. Bus.	
2		1 1	Admin	
3		Business Manager Francisco Lopez, Department		
5		Business Manager	Alejandra Rodriguez, Asst. Bus.	
		Busiliess mailager	Admin	
4	final payroll verification reports. Completing termination clearance procedures.	Francisco Lopez, Department		
4	completing termination clearance procedures.	Business Manager		
5	Ensuring terminated employees are no longer charged to		Sara Brown, Executive Director,	
5		2	College of Business Operations	
6	departmental cost centers. Maintaining departmental Personnel files.	DeAun Ardoin, Purchasing IT	Francisco Lopez, Department	
U	mannanning ucparunentai r cisoinici mes.	Coordinator		
7	Enquine valid outhorization of a set hims		Business Manager	
7	Ensuring valid authorization of new hires.	Francisco Lopez, Department		
0		Business Manager	Alajandra Dodriguaz Asst Der	
8	Ensuring valid authorization of changes in compensation rates.	Melissa Niles, College Business	Alejandra Rodriguez, Asst. Bus.	
C C		Administration	Admin	
9	Ensuring the accurate input of changes to the HR System.	DeAun Ardoin, Purchasing IT	Francisco Lopez, Department	
		Coordinator	Business Manager	

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		2019 Responsible Per	rson(s) (Name/Title)	
Descrit	bition of Responsibility	Primary (Required) Secondary (Optional)		
10	Consistent and efficient responses to inquiries.	DeAun Ardoin, Purchasing IT	Francisco Lopez, Department	
10	consistent and enterent responses to inquines.	Coordinator	Business Manager	
CASH	HANDLING			
1	Collecting cash, checks, etc.	Terrolyn Gunter, Asst Business	Andrew Nguyen - Financial Assistant	
		Administrator - Finance	II	
2	Reconciling cash, checks, etc. to receipts.	Andrew Nguyen - Financial Assistant II	Terrolyn Gunter, Asst Business Administrator - Finance	
3	Preparing deposits.	Andrew Nguyen - Financial	Terrolyn Gunter, Asst Business	
		Assistant II	Administrator - Finance	
4	Preparing Journal Entries.	Andrew Nguyen - Financial		
		Assistant II	Bao Huynh, Financial Assistant II	
5	Verifying deposits posted correctly in the Finance System.	Khanh Nguyen, Financial Analyst	Terrolyn Gunter, Asst Business	
6	A degree of the size of a state of each trace into and	Z Terrolyn Gunter, Asst Business	Administrator - Finance Andrew Nguyen - Financial Assistant	
6	Adequacy of physical safeguards of cash receipts and equivalent.	Administrator - Finance	II	
7	Secure deposits via UHDPS to Student Financial Services.	Andrew Nguyen - Financial	Terrolyn Gunter, Asst Business	
,	secure deposits via eribi 5 to student i maneiar services.	Assistant II	Administrator - Finance	
8	Ensuring deposits are made timely.	Terrolyn Gunter, Asst Business	Andrew Nguyen - Financial Assistant	
Ũ		Administrator - Finance	II	
9	Ensuring all employees who handle cash have completed Cash	Francisco Lopez, Department		
	Security Procedures or Cash Deposit and Security Procedures	Business Manager	DeAun Ardoin, Purchasing IT	
	training.	C C	Coordinator	
10	Updating Cash Handling Procedures as needed.	Terrolyn Gunter, Asst Business	Andrew Nguyen - Financial Assistant	
		Administrator - Finance	Π	
11	Distribution of Cash Handling Procedures to employees who	Francisco Lopez, Department	Terrolyn Gunter, Asst Business	
	handle cash.	Business Manager	Administrator - Finance	
12	Consistent and efficient responses to inquiries.	DeAun Ardoin, Purchasing IT	Charles Morgan, Director of Bauer	
		Coordinator	Technology	
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	N/A	N/A	
3	authorized purposes.	N/A	N/A	
4	Approving petty cash disbursements.	N/A		
•	rippioving pour cush disoursements.	1 1/ 1 1	N/A	
5	Replenishing the petty cash fund timely.	N/A		
-			N/A	
6	Ensuring the petty cash fund is balanced after each	N/A		
	disbursement.		N/A	
CONTR	RACT ADMINISTRATION			
contin		1		
1	Ensuring departmental personnel comply with contract	Francisco Lopez, Department	Terrolyn Gunter, Asst Business	
1	administration policies/procedures.	Francisco Lopez, Department Business Manager	Terrolyn Gunter, Asst Business Administrator - Finance	
1			÷	
1	administration policies/procedures.		÷	

## RICS Department - H0043 Baseline Standards FY 2019

		<b>Responsible Person(s) (Name/Title)</b>		
Descri	otion of Responsibility	Primary (Required)	Secondary (Optional)	
2	Ensuring the annual inventory was completed correctly.	DeAun Ardoin, Purchasing IT		
		Coordinator		
3	Tagging equipment.	DeAun Ardoin, Purchasing IT		
		Coordinator		
4	Approving requests for removal of equipment from campus.	Melissa Niles, College Business	Sara Brown, Executive Director,	
•		Administration	College of Business Operations	
USCI	OSURE FORMS	Administration	conege of Dusiness Operations	
/IDCL	OS CILL I ORIVIS			
1	Ensuring all employees with purchasing influence complete the	Francisco Lopez, Department	Melissa Niles, College Business	
1	annual Related Party disclosure statement online.	Business Manager	Administrator	
2	Ensuring all full time, benefits eligible, exempt faculty and	Francisco Lopez, Department	Melissa Niles, College Business	
Z				
	staff complete the Consulting disclosure statement online.	Business Manager	Administrator	
3	Ensuring that all Principal and Co-Principal Investigators	Melissa Niles, College Business		
	complete the annual Conflict of Interest disclosure statement	Administration	Sara Brown, Executive Director,	
	for the Division of Research.		College of Business Operations	
ACCO	UNTS RECEIVABLE			
	1			
1	Extending of credit.	N/A		
			N/A	
2	Billing.	N/A		
			N/A	
3	Collection.	N/A		
			N/A	
4	Recording.	N/A		
	iteoriumg.		N/A	
5	Monitoring credit extended.	N/A		
	Nomoning creat extended.		N/A	
		NT/ A	N/A	
6	Approving write-offs.	N/A	27/4	
			N/A	
NEGA	TIVE BALANCES			
1			Sara Brown, Executive Director,	
1	Ensuring that all fund groups for each Dept ID have positive	Khanh Nguyen, Financial Analyst		
	fund equity at year-end.	2	College of Business Operations	
2	Ensuring that research expenditures are covered by funds from	Khanh Nguyen, Financial Analyst	Sara Brown, Executive Director,	
	sponsors.	2	College of Business Operations	
DEPAI	RTMENTAL COMPUTING			
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1	Management of the departments' information technology	Charles Morgan, Director of	Michael Rodriguez, Manager,	
	resources.	Bauer Technology	Coll/Div Info Services	
2	Ensuring that critical data back up occurs.		Charles Morgan, Director of Baue	
	-	Hina Khan, Systems Analyst 3	Technology	
3	Ensuring that procedures such as password controls are	Michael Rodriguez, Manager,		
	followed.	Coll/Div Info Services	Hina Khan, Systems Analyst 3	
4	Reporting of suspected security violations.	Charles Morgan, Director of	The then, by stons they st 5	
+	reporting of suspected security violations.	•		
		Bauer Technology		