

Dean's Office College of Engineering - H0066
Baseline Standards
FY 2016

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.	Steve Bangerter, Exec Dir of Busn Ops	Monique Jones, CBA
2	Updating the Baseline Standards Form.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Dawn Smith, Asst Busn Admin Monique Jones, CBA	
2	Reviewing cost center verifications.	Steve Bangerter, Exec Dir of Busn Ops	
3	Approving cost center verifications.	Steve Bangerter, Exec Dir of Busn Ops	
4	Ensuring all cost centers are verified/approved on a timely basis.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Steve Bangerter, Exec Dir of Busn Ops	Monique Jones, CBA
2	Ensuring the validity of travel and expense reimbursements.	Steve Bangerter, Exec Dir of Busn Ops	Monique Jones, CBA
3	Ensuring that goods and services are received and that timely payment is made.	Monique Jones, CBA	Dawn Smith, Asst Busn Admin
4	Ensuring correct account coding on purchases documents.	Monique Jones, CBA	Dawn Smith, Asst Busn Admin
5	Primary contact for inquiries to expenditure transactions.	Monique Jones, CBA	Dawn Smith, Asst Busn Admin
6	Ensuring access and use of P-Cards and T-Cards are secure.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
7	Ensuring P-Card transactions are adequately documented and benefit the university.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
8	Ensuring T-Card transactions are adequately documented and benefit the university.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
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.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
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.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
6	Completing termination ePAR's within 24 hours of termination.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
7	Verifying that the eTermination Checklist is completed by all required departments no more than two weeks after termination.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
8	Ensuring terminated employees are no longer charged to departmental cost centers.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
9	Maintaining departmental personnel files.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
10	Consistent and efficient responses to inquiries.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
11	Hire ePAR's should be processed at least 1 week prior to start date.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA Steve Bangerter, Exec Dir of Busn Ops
12	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops

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CASH HANDLING			
1	Collecting cash, checks, etc.	Fallon Noel, Admin Asst	Dawn Smith, Asst Busn Admin Monique Jones, CBA Steve Bangerter, Exec Dir, Busn Ops
2	Reconciling cash, checks, etc. to receipts.	Fallon Noel, Admin Asst	Dawn Smith, Asst Busn Admin Monique Jones, CBA Steve Bangerter, Exec Dir, Busn Ops
3	Preparing deposits.	Fallon Noel, Admin Asst	Dawn Smith, Asst Busn Admin Monique Jones, CBA Steve Bangerter, Exec Dir, Busn Ops
4	Preparing Journal Entries.	Fallon Noel, Admin Asst	Dawn Smith, Asst Busn Admin Monique Jones, CBA Steve Bangerter, Exec Dir, Busn Ops
5	Verifying deposits posted correctly in the Finance System.	Monique Jones, CBA	Dawn Smith, Asst Busn Admin Steve Bangerter, Dir of Busn Ops
6	Adequacy of physical safeguards of cash receipts and equivalent.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA
7	Secure deposits via UHDPS to Student Financial Services.	Dawn Smith, Asst Busn Admin	
8	Ensuring deposits are made timely.	Fallon Noel, Admin Asst	Dawn Smith, Asst Busn Admin Monique Jones, CBA Steve Bangerter, Exec Dir, Busn Ops
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
10	Updating Cash Handling Procedures as needed.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
11	Distribution of Cash Handling Procedures to employees who handle cash.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
12	Consistent and efficient responses to inquiries.	Monique Jones, CBA	Dawn Smith, Asst Busn Admin Steve Bangerter, Exec Dir of Busn Ops
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
14	Ensuring all access and use of credit card information is secure.	Fallon Noel, Admin Asst	Dawn Smith, Asst Busn Admin Monique Jones, CBA Steve Bangerter, Exec Dir, Busn Ops
PETTY CASH / CHANGE FUNDS			
1	Submitting Annual Reauthorization for Petty Cash/Change Funds.	N/A	
2	Preparing petty cash disbursements.	N/A	
3	Ensuring petty cash disbursements are not for more than \$100.	N/A	
4	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	
5	Approving petty cash disbursements.	N/A	
6	Replenishing the petty cash fund timely.	N/A	
7	Ensuring the petty cash fund is balanced after each disbursement.	N/A	
8	Ensuring the change fund is balanced daily, weekly or monthly.	N/A	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Steve Bangerter, Exec Dir of Busn Ops	Monique Jones, CBA
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Dawn Smith, Asst Busn Admin	Arturo Padilla, Info Svcs Mgr 2
2	Ensuring the annual inventory was completed correctly.	Steve Bangerter, Exec Dir of Busn Ops	Monique Jones, CBA
3	Tagging equipment.	Dawn Smith, Asst Busn Admin	Arturo Padilla, Info Svcs Mgr 2
4	Approving requests for removal of equipment from campus.	Steve Bangerter, Exec Dir of Busn Ops	Monique Jones, CBA

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online	Steve Bangerter, Exec Dir of Busn Ops	Monique Jones, CBA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online	Steve Bangerter, Exec Dir of Busn Ops	Monique Jones, CBA
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Steve Bangerter, Exec Dir of Busn Ops	Monique Jones, CBA
ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	
2	Billing.	NA	
3	Collection.	NA	
4	Recording.	NA	
5	Monitoring credit extended.	NA	
6	Approving write-offs.	NA	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Monique Jones, CBA	Steve Bangerter, Exec Dir of Busn Ops
2	Ensuring that research expenditures are covered by funds from sponsors.	Dawn Smith, Asst Busn Admin	Monique Jones, CBA
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Kiet Luong/Director, IT Svcs	Eric Stern, Mgr Info Svcs 2
2	Ensuring that critical data back up occurs.	Kiet Luong/Director, IT Svcs	Eric Stern, Mgr Info Svcs 2
3	Ensuring that procedures such as password controls are followed.	Kiet Luong/Director, IT Svcs	Eric Stern, Mgr Info Svcs 2
4	Reporting of suspected security violations.	Kiet Luong/Director, IT Svcs	Eric Stern, Mgr Info Svcs 2