

COLLEGE OF OPTOMETRY - H0113-115  
Baseline Standards  
FY 2016

*Mary Juarez*  
*8.18.15*

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
<b>DEPARTMENTAL POLICIES &amp; PROCEDURES / BASELINE STANDARDS</b>			
1	Ensuring the Departmental Policy and Procedures manual is current.	Mary Juarez	Roger Boltz
2	Updating the Baseline Standards Form	Mary Juarez	Roger Boltz
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez
2	Reviewing cost center verifications	Cost center managers	Laura Frishman, Roger Boltz
3	Approving cost center verifications	Cost center managers	Laura Frishman, Roger Boltz
4	Ensuring all cost centers are verified/approved on a timely basis.	Hanh Nguyen	Mary Juarez
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Deborah Hawkey, Jeremiah Gallegos, Mary Guzman, Maria Carreon	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez
2	Ensuring the validity of travel and expense reimbursements	Mary Guzman, Maria Carreon, Hanh Nguyen	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez
3	Ensuring that goods and services are received and that timely payment is made.	Deborah Hawkey, Jeremiah Gallegos, Mary Guzman, Maria Carreon	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez
4	Ensuring correct account coding on purchases documents	Deborah Hawkey, Jeremiah Gallegos, Mary Guzman, Maria Carreon	Barbara Valles, Jolisa Johnston, Hanh Nguyen, Mary Juarez
5	Primary contact for inquiries to expenditure transactions.	Deborah Hawkey, Jeremiah Gallegos, Mary Guzman, Maria Carreon	Mary Juarez, Roger Boltz
6	Ensuring access and use of P-Cards and T-Cards are secure.	Deborah Hawkey, Mary Guzman	Deborah Hawkey, Mary Guzman
7	Ensuring P-Card transactions are adequately documented and benefit the university.	Deborah Hawkey	Mary Juarez, Roger Boltz
8	Ensuring T-Card transactions are adequately documented and benefit the university	Mary Guzman	Deborah Hawkey, Mary Juarez
<b>PAYROLL / HUMAN RESOURCES</b>			
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.	Sawsan Shatleh	Mary Juarez or designee
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Sawsan Shatleh	Mary Juarez or designee
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Sawsan Shatleh	Mary Juarez or designee
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM	Sawsan Shatleh	Mary Juarez or designee
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.	Sawsan Shatleh	Mary Juarez or designee
6	Completing termination ePAR's within 24 hours of termination.	Sawsan Shatleh	Mary Juarez or designee
7	Verifying that the eTermination Checklist is completed by all required departments no more than two weeks after termination.	Mary Juarez	Mary Juarez
8	Ensuring terminated employees are no longer charged to departmental cost centers.	Sawsan Shatleh	Mary Juarez or designee
9	Maintaining departmental personnel files.	Sawsan Shatleh	Mary Juarez or designee

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10	Consistent and efficient responses to inquiries.	Sawsan Shatleh	Mary Juarez or designee
11	Hire ePAR's should be processed at least 1 week prior to start date.	Sawsan Shatleh	Mary Juarez or designee
12	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Mary Juarez, however why 48 hrs? Not completely realistic.	Mary Juarez or designee

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<b>CASH HANDLING</b>			
1	Collecting cash, checks, etc.	Individual clinic or unit cashiers	Individual clinic or unit cashiers
2	Reconciling cash, checks, etc. to receipts.	Individual clinic or unit cashiers	Individual clinic or unit cashiers
3	Preparing deposits.	Barbara Valles, Mary Guzman, Hanh Nguyen	Barbara Valles, Mary Guzman, Hanh Nguyen
4	Preparing Journal Entries.	Barbara Valles, Mary Guzman, Hanh Nguyen	Barbara Valles, Mary Guzman, Hanh Nguyen
5	Verifying deposits posted correctly in the Finance System.	Barbara Valles, Mary Guzman, Hanh Nguyen	Barbara Valles, Mary Guzman, Hanh Nguyen
6	Adequacy of physical safeguards of cash receipts and equivalent.	Barbara Valles, Mary Guzman, Hanh Nguyen	Barbara Valles, Mary Guzman, Hanh Nguyen
7	Secure deposits via UHDPS to Student Financial Services.	Barbara Valles, Mary Guzman, Hanh Nguyen	Barbara Valles, Mary Guzman, Hanh Nguyen
8	Ensuring deposits are made timely.	Barbara Valles, Mary Guzman, Hanh Nguyen	Barbara Valles, Mary Guzman, Hanh Nguyen
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Mary Juarez	Mary Juarez/Roger Boltz
10	Updating Cash Handling Procedures as needed.	Mary Juarez, Financial Coordinators	Mary Juarez, Financial Coordinators
11	Distribution of Cash Handling Procedures to employees who handle cash.	Mary Juarez, Financial Coordinators	Mary Juarez, Financial Coordinators
12	Consistent and efficient responses to inquiries.	Mary Juarez, Financial Coordinators	Mary Juarez, Financial Coordinators
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	Mary Juarez	Mary Juarez/Roger Boltz
14	Ensuring all access and use of credit card information is secure.	Clinic Coordinators/Directors, Mary Juarez	Clinic Coordinators/Directors, Mary Juarez
<b>PETTY CASH / CHANGE FUNDS</b>			
1	Submitting Annual Reauthorization for Petty Cash/Change Funds.	Hanh Nguyen	Mary Juarez
2	Preparing petty cash disbursements.	N/A	N/A
3	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
4	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
5	Approving petty cash disbursements.	N/A	N/A
6	Replenishing the petty cash fund timely.	N/A	N/A
7	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
8	Ensuring the change fund is balanced daily, weekly or monthly.	Clinic service directors	Clinic service directors
<b>CONTRACT ADMINISTRATION</b>			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Roger Boltz	Roger Boltz or designee
<b>PROPERTY MANAGEMENT</b>			
1	Performing the annual inventory.	Mary Martinez	Marc Eaton
2	Ensuring the annual inventory was completed correctly.	Mary Martinez	Marc Eaton
3	Tagging equipment.	Mary Martinez	Marc Eaton or designee
4	Approving requests for removal of equipment from campus.	Dean or designee	Dean or designee

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<b>DISCLOSURE FORMS</b>			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online	Yearly automated training	Yearly automated training
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online	Yearly automated training	Yearly automated training
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research	Laura Frishman or designee	Laura Frishman or designee
<b>ACCOUNTS RECEIVABLE</b>			
1	Extending of credit.	AlterMed- outsourced co	AlterMed- outsourced co
2	Billing.	AlterMed- outsourced co	AlterMed- outsourced co
3	Collection.	AlterMed- outsourced co	AlterMed- outsourced co
4	Recording.	AlterMed- outsourced co	AlterMed- outsourced co
5	Monitoring credit extended.	AlterMed- outsourced co	AlterMed- outsourced co
6	Approving write-offs.	Nick Holdeman, Service directors or dean	Nick Holdeman, Service directors or dean
<b>NEGATIVE BALANCES</b>			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end	Mary Juarez	Roger Boltz
2	Ensuring that research expenditures are covered by funds from sponsors.	Jolisa Johnston	Laura Frishman, Roger Boltz
<b>DEPARTMENTAL COMPUTING</b>			
1	Management of the departments' information technology resources.	Darrin Nguyen & IT Staff	Darrin Nguyen & IT Staff
2	Ensuring that critical data back up occurs.	Darrin Nguyen & IT Staff	Darrin Nguyen & IT Staff
3	Ensuring that procedures such as password controls are followed	Darrin Nguyen & IT Staff	Darrin Nguyen & IT Staff
4	Reporting of suspected security violations.	Darrin Nguyen & IT Staff	Darrin Nguyen & IT Staff