

Department Name
Baseline Standards
FY 2014

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.	David McMullen (DBA)	Susan Geesey (Fin Coor2)
2	Updating the Baseline Standards Form.	David McMullen (DBA)	Susan Geesey (Fin Coor2)
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
2	Reviewing cost center verifications.	David McMullen (DBA)	Selesta Hodge (Exec Dir, DOR)
3	Approving cost center verifications.	Barbara Chapman (Director)	David McMullen (DBA)
4	Ensuring all cost centers are verified/approved on a timely basis.	David McMullen (DBA)	Susan Geesey (Fin Coor2)
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Sandra Johnson (Fin Asst 2)	David McMullen (DBA)
2	Ensuring the validity of travel and expense reimbursements.	Sandra Johnson (Fin Asst 2)	David McMullen (DBA)
3	Ensuring that goods and services are received and that timely payment is made.	Sandra Johnson (Fin Asst 2)	David McMullen (DBA)
4	Ensuring correct account coding on purchases documents.	Sandra Johnson (Fin Asst 2)	David McMullen (DBA)
5	Primary contact for inquiries to expenditure transactions.	Sandra Johnson (Fin Asst 2)	David McMullen (DBA)
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
2	Reconciling bi-weekly leave accruals to the HR System.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
4	Ensuring all monthly leave is recorded and approved in the HR System.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
6	Completing termination clearance procedures.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
8	Paycheck distribution.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
9	Maintaining departmental Personnel files.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
10	Ensuring valid authorization of new hires.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
11	Ensuring valid authorization of changes in compensation rates.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
12	Ensuring the accurate input of changes to the HR System.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
13	Propriety of leave account classification on time records.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
14	Consistent and efficient responses to inquiries.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
CASH HANDLING			
1	Collecting cash, checks, etc.	Susan Geesey (Fin Coor2)	David McMullen (DBA)

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		Primary (Required)	Secondary (Optional)
2	Reconciling cash, checks, etc. to receipts.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
3	Preparing deposits.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
4	Preparing Journal Entries.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
5	Verifying deposits posted correctly in the Finance System.	David McMullen (DBA)	Susan Geesey (Fin Coor2)
6	Adequacy of physical safeguards.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
7	Transporting deposits to Student Financial Services.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
8	Ensuring deposits are made timely.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
10	Updating Cash Handling Procedures as needed.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
11	Distribution of Cash Handling Procedures to employees who handle cash.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
12	Consistent and efficient responses to inquiries.	Susan Geesey (Fin Coor2)	David McMullen (DBA)
PETTY CASH			
1	Preparing petty cash disbursements.	NA	NA
2	Ensuring petty cash disbursements are not for more than \$100.	NA	NA
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	NA
4	Approving petty cash disbursements.	NA	NA
5	Replenishing the petty cash fund timely.	NA	NA
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	NA
LONG DISTANCE CHARGES			
1	Manager review of long distance charges for unusual activity.	NA	NA
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	NA	NA
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Sandra Johnson (Fin Asst 2)	David McMullen (DBA)
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	David McMullen (DBA)	TBD
2	Ensuring the annual inventory was completed correctly.	David McMullen (DBA)	TBD
3	Tagging equipment.	David McMullen (DBA)	TBD
4	Approving requests for removal of equipment from campus.	David McMullen (DBA)	TBD
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Linsey Ho (Fin Coor1)	David McMullen (DBA)
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Linsey Ho (Fin Coor1)	David McMullen (DBA)

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3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Linsey Ho (Fin Coord)	David McMullen (DBA)
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.	David McMullen (DBA)	Selesta Hodge (Exec Dir, DOR)
2	Ensuring that research expenditures are covered by funds from sponsors.	David McMullen (DBA)	Selesta Hodge (Exec Dir, DOR)
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Tony Curtis (Mgr Sys Info)	Barbara Chapman (Director)
2	Ensuring that critical data back up occurs.	Tony Curtis (Mgr Sys Info)	Barbara Chapman (Director)
3	Ensuring that procedures such as password controls are followed.	Tony Curtis (Mgr Sys Info)	Barbara Chapman (Director)
4	Reporting of suspected security violations.	Tony Curtis (Mgr Sys Info)	Barbara Chapman (Director)