

Department Name
Baseline Standards
FY 2012

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.	Randi Betts, Certifying Signature Dr. Daniel O'Connor, Director
2	Updating the Baseline Standards Form.	Randi Betts, Certifying Signature Dr. Daniel O'Connor, Director
FINANCIAL REPORTING - COST CENTER VERIFICATIONS		
1	Preparing cost center verifications.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
2	Reviewing cost center verifications.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
3	Approving cost center verifications.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
4	Ensuring all cost centers are verified/approved on a timely basis.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS		
1	Ensuring valid authorization of purchase documents.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
2	Ensuring the validity of travel and expense reimbursements.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
3	Ensuring that goods and services are received and that timely payment is made.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
4	Ensuring correct account coding on purchases documents.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
5	Primary contact for inquiries to expenditure transactions.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
PAYROLL / HUMAN RESOURCES		
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Scher Mama, Research Lab Mgr. Brian Drake, ABA
2	Reconciling bi-weekly leave accruals to the HR System.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Scher Mama, Research Lab Mgr. Brian Drake, ABA
4	Ensuring all monthly leave is recorded and approved in the HR System.	Randi Betts, Certifying Signature Dr. Daniel O'Connor, Director
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Brian Drake, ABA Randi Betts, Certifying Signature
6	Completing termination clearance procedures.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
8	Paycheck distribution.	Scher Mama, Research Lab Mgr. Brian Drake, ABA
9	Maintaining departmental Personnel files.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
10	Ensuring valid authorization of new hires.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
11	Ensuring valid authorization of changes in compensation rates.	Randi Betts, Certifying Signature Dr. Daniel O'Connor, Director
12	Ensuring the accurate input of changes to the HR System.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
13	Propriety of leave account classification on time records.	Randi Betts, Certifying Signature Dr. Daniel O'Connor, Director
14	Consistent and efficient responses to inquiries.	Scher Mama, Research Lab Mgr. Randi Betts, Certifying Signature
CASH HANDLING		
1	Collecting cash, checks, etc.	Brian Drake, ABA Randi Betts, Certifying Signature

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2 Reconciling cash, checks, etc. to receipts.	Brian Drake, ABA	Randi Betts, Certifying Signature
3 Preparing deposits.	Brian Drake, ABA	Randi Betts, Certifying Signature
4 Preparing Journal Entries.	Brian Drake, ABA	Randi Betts, Certifying Signature
5 Verifying deposits posted correctly in the Finance System.	Brian Drake, ABA	Randi Betts, Certifying Signature
6 Adequacy of physical safeguards.	Randi Betts, Certifying Signature	Dr. Daniel O'Connor, Director
7 Transporting deposits to Student Financial Services.	UHPD	N/A
8 Ensuring deposits are made timely.	Randi Betts, Certifying Signature	Dr. Daniel O'Connor, Director
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Randi Betts, Certifying Signature	Dr. Daniel O'Connor, Director
10 Updating Cash Handling Procedures as needed.	Randi Betts, Certifying Signature	Dr. Daniel O'Connor, Director
11 Distribution of Cash Handling Procedures to employees who handle cash.	Randi Betts, Certifying Signature	Brian Drake, ABA
12 Consistent and efficient responses to inquiries.	Brian Drake, ABA	Randi Betts, Certifying Signature
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
LONG DISTANCE CHARGES		
1 Manager review of long distance charges for unusual activity.	Scher Mama, Research Lab Mgr.	Randi Betts, Director
2 Ensuring personal calls are reimbursed within 10 days from the billing date.	Scher Mama, Research Lab Mgr.	Randi Betts, Director
CONTRACT ADMINISTRATION		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Scher Mama, Research Lab Mgr.	Randi Betts, Director
PROPERTY MANAGEMENT		
1 Performing the annual inventory.	Brian Drake, ABA	Randi Betts, Certifying Signature
2 Ensuring the annual inventory was completed correctly.	Randi Betts, Certifying Signature	Dr. Daniel O'Connor, Director
3 Tagging equipment.	Scher Mama, Research Lab Mgr.	Brian Drake, ABA
4 Approving requests for removal of equipment from campus.	Randi Betts, Certifying Signature	Dr. Daniel O'Connor, Director
DISCLOSURE FORMS		
1 Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Brian Drake, ABA	Randi Betts, Certifying Signature
2 Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Brian Drake, ABA	Randi Betts, Certifying Signature

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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.	Brian Drake, ABA	Randi Betts, Certifying Signature
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Scher Mama, Research Lab Mgr.	Randi Betts, Certifying Signature
2	Ensuring that research expenditures are covered by funds from sponsors.	Scher Mama, Research Lab Mgr.	Randi Betts, Certifying Signature
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Scher Mama, Research Lab Mgr.	Randi Betts, Certifying Signature
2	Ensuring that critical data back up occurs.	CLASS IT	Randi Betts, Certifying Signature
3	Ensuring that procedures such as password controls are followed.	CLASS IT	Randi Betts, Certifying Signature
4	Reporting of suspected security violations.	Randi Betts, Certifying Signature	Dr. Daniel O'Connor, Director