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

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		Primary (Required)	**Secondary (Optional)**
CASH HANDLING			
1	Collecting cash, checks, etc.	Paula Eakins, Fin. Coord. 2	Natashia Craft, ABA
2	Reconciling cash, checks, etc. to receipts.	Paula Eakins, Fin. Coord. 2	Natashia Craft, ABA
3	Preparing deposits.	Paula Eakins, Fin. Coord. 2	Natashia Craft, ABA
4	Preparing Journal Entries.	Paula Eakins, Fin. Coord. 2	Natashia Craft, ABA
5	Verifying deposits posted correctly in the Finance System.	Natashia Craft, ABA	Tammy Maugans, DBA
6	Adequacy of physical safeguards of cash receipts and equivalent.	Natashia Craft, ABA	Tammy Maugans, DBA
7	Secure deposits via UHDPS to Student Financial Services.	Paula Eakins, Fin. Coord. 2	Natashia Craft, ABA
8	Ensuring deposits are made timely.	Paula Eakins, Fin. Coord. 2	Natashia Craft, ABA
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Natashia Craft, ABA	Tammy Maugans, DBA
10	Updating Cash Handling Procedures as needed.	Natashia Craft, ABA	Tammy Maugans, DBA
11	Distribution of Cash Handling Procedures to employees who handle cash.	Natashia Craft, ABA	Tammy Maugans, DBA
12	Consistent and efficient responses to inquiries.	Natashia Craft, ABA	Tammy Maugans, DBA
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	Natashia Craft, ABA	Tammy Maugans, DBA
14	Ensuring all access and use of credit card information is secure.	Natashia Craft, ABA	Tammy Maugans, DBA
PETTY CASH / CHANGE FUNDS			
1	Submitting Annual Reauthorization for Petty Cash/Change Funds.	N/A	N/A
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.	N/A	N/A
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Pam Muscarello, DA	Cristina Milligan, AVP of Research Admin
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Edward Sierra, Admin Asst	
2	Ensuring the annual inventory was completed correctly.	Edward Sierra, Admin Asst	
3	Tagging equipment.	Edward Sierra, Admin Asst	
4	Approving requests for removal of equipment from campus.	Cristina Milligan, AVP of Research Admin	Pam Muscarello, DA

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Natashia Craft, ABA	Tammy Maugans, DBA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Natashia Craft, ABA	Tammy Maugans, DBA
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Natashia Craft, ABA	Tammy Maugans, DBA
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.	Natashia Craft, ABA	Pam Muscarello, DA
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	N/A
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Evan McWhirter, User Services Spec. 3	Lee Loggin, Functional Analyst 3
2	Ensuring that critical data back up occurs.	Evan McWhirter, User Services Spec. 4	Lee Loggin, Functional Analyst 3
3	Ensuring that procedures such as password controls are followed.	Evan McWhirter, User Services Spec. 5	Lee Loggin, Functional Analyst 3
4	Reporting of suspected security violations.	Evan McWhirter, User Services Spec. 6	Lee Loggin, Functional Analyst 3