

Division of Research - H0233
Baseline Standards
FY 2018

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

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CASH HANDLING			
1	Collecting cash, checks, etc.	Irene Ray, Admin Assistant	Ashley Merwin, Exec Assistant
2	Reconciling cash, checks, etc. to receipts.	Pammy Moore, Fin. Coord. 2	Theo Katahena, DBA
3	Preparing deposits.	Pammy Moore, Fin. Coord. 2	Theo Katahena, DBA
4	Preparing Journal Entries.	Pammy Moore, Fin. Coord. 2	Theo Katahena, DBA
5	Verifying deposits posted correctly in the Finance System.	Cheerice Davis, Accountant I	Mila Bautista, Accountant III
6	Adequacy of physical safeguards of cash receipts and equivalent.	Theo Katahena, DBA	Pam Muscarello, DA
7	Secure deposits via UHDPDS to Student Financial Services.	N/A	N/A
8	Ensuring deposits are made timely.	Pammy Moore, Fin. Coord. 2	Theo Katahena, DBA
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Theo Katahena, DBA	Pam Muscarello, ED
10	Updating Cash Handling Procedures as needed.	Theo Katahena, DBA & Grace Rosanes, OCG, Assist Dir	Pam Muscarello, ED
11	Distribution of Cash Handling Procedures to employees who handle cash.	Theo Katahena, DBA & Grace Rosanes, OCG, Assist Dir	Pam Muscarello, ED
12	Consistent and efficient responses to inquiries.	Pammy Moore, Fin. Coord. 2 & Beverly Richard, Research	Theo Katahena, DBA & Grace Rosanes, OCG, Assist Dir
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	N/A	N/A
14	Ensuring all access and use of credit card information is secure.	N/A	N/A
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.	Theo Katahena, DBA	Eric Coon, Program Manager I
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.	Employee's Supervisor	Cristina Milligan, AVP of Research Admin

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Theo Katahena, DBA	Vacant ABA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Theo Katahena, DBA	Vacant ABA
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Theo Katahena, DBA	Vacant ABA
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	Mila Bautista, Accountant III	Eric Coon, Program Manager I
3	Collection.	Mila Bautista, Accountant III	Eric Coon, Program Manager I
4	Recording.	Mila Bautista, Accountant III	Eric Coon, Program Manager I
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	Cristina Milligan, AVP of Research Admin	Pam Muscarello, ED
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Theo Katahena, DBA	Vacant ABA
2	Ensuring that research expenditures are covered by funds from sponsors.	Theo Katahena, DBA	Vacant ABA
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Evan McWhirter, System Administrator 1	Lee Loggin, Functional Analyst 4
2	Ensuring that critical data back up occurs.	Evan McWhirter, System Administrator 1	Lee Loggin, Functional Analyst 4
3	Ensuring that procedures such as password controls are followed.	Evan McWhirter, System Administrator 1	Lee Loggin, Functional Analyst 4
4	Reporting of suspected security violations.	Evan McWhirter, System Administrator 1	Lee Loggin, Functional Analyst 4