

DOR Business Operations
Baseline Standards
FY 2019

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.	Alejandro Briceno, ABA	Theo Katahena, DBA/ Pammy Moore, Fin. Coord. II
2	Updating the Baseline Standards Form.	Theo Katahena, DBA	Elyse Davis, Division Administrator
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Cheerice Davis, Accountant I	
2	Reviewing cost center verifications.	Pam Muscarello, Ex Director Theo Katahena, DBA	Elyse Davis, Division Administrator
3	Approving cost center verifications.	Cost Center Manager	Pam Muscarello, Ex Director Elyse Davis, Division Administrator Theo Katahena, DBA
4	Ensuring all cost centers are verified/approved on a timely basis.	Cheerice Davis, Accountant I	Theo Katahena, DBA
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Theo Katahena, DBA	Elyse Davis, Division Administrator
2	Ensuring the validity of travel and expense reimbursements.	Admin Assistants	Theo Katahena, DBA
3	Ensuring that goods and services are received and that timely payment is made.	Theo Katahena, DBA	Elyse Davis, Division Administrator
4	Ensuring correct account coding on purchases documents.	Theo Katahena, DBA	Elyse Davis, Division Administrator
5	Primary contact for inquiries to expenditure transactions.	Alejandro Briceno, ABA	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 and approved before the deadlines set by Payroll.	Pammy Moore, Fin. Coord. 2	Theo Katahena, DBA
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Pammy Moore, Fin. Coord. 2	Theo Katahena, DBA
4	Completing termination clearance procedures.	Alejandro Briceno, ABA	Pammy Moore, Fin. Coord. 2
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Pammy Moore, Fin. Coord. 2	Theo Katahena, DBA
6	Maintaining departmental Personnel files.	Alejandro Briceno, ABA	Pammy Moore, Fin. Coord. 2
7	Ensuring valid authorization of new hires.	Alejandro Briceno, ABA	Pammy Moore, Fin. Coord. 2
8	Ensuring valid authorization of changes in compensation rates.	Alejandro Briceno, ABA	Theo Katahena, DBA
9	Ensuring the accurate input of changes to the HR System.	Alejandro Briceno, ABA	Theo Katahena, DBA
10	Consistent and efficient responses to inquiries.	Alejandro Briceno, ABA/ Pammy Moore, Fin. Coord. 2	Theo Katahena, DBA

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CASH HANDLING			
1	Collecting cash, checks, etc.	Marshelle Jones, Admin Assistant Hannah McQuitty, Exec Assistant	Ashley Merwin, Exec Assistant
2	Reconciling cash, checks, etc. to receipts.	Cheerice Davis, Accountant I	Mila Bautista, Accountant III
3	Preparing deposits.	Pammy Moore, Fin. Coord. 2	Alejandro Briceno, ABA
4	Preparing Journal Entries.	Pammy Moore, Fin. Coord. 2	Alejandro Briceno, ABA
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, Ex Director
7	Secure deposits via UHDPS to Student Financial Services.	N/A	N/A
8	Ensuring deposits are made timely.	Pammy Moore, Fin. Coord. 2	Alejandro Briceno, ABA
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Theo Katahena, DBA	Pam Muscarello, Ex Director
10	Updating Cash Handling Procedures as needed.	Theo Katahena, DBA Grace Rosanes, OCG, Assist Dir	Pam Muscarello, Ex Director
11	Distribution of Cash Handling Procedures to employees who handle cash.	Theo Katahena, DBA Grace Rosanes, OCG, Assist Dir	Pam Muscarello, Ex Director
12	Consistent and efficient responses to inquiries.	Alejandro Briceno, ABA Pammy Moore, Fin. Coord. 2 Beverly Richard, Research Accountant	Theo Katahena, DBA Grace Rosanes, OCG, Assist Dir
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
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Alejandro Briceno, ABA	
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Edward Sierra, Exec Admin Asst	
2	Ensuring the annual inventory was completed correctly.	Edward Sierra, Exec Admin Asst	
3	Tagging equipment.	Edward Sierra, Exec Admin Asst	
4	Approving requests for removal of equipment from campus.	Employee's Supervisor	Cristina Milligan, AVP of Research Admin
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Theo Katahena, DBA	Alejandro Briceno, ABA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Theo Katahena, DBA	Alejandro Briceno, 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	Alejandro Briceno, ABA

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ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	Mila Bautista, Accountant III	
3	Collection.	Ryan Black, Program Director 2, CIP	
4	Recording.	Mila Bautista, Accountant III	
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	Cristina Milligan, AVP of Research Admin	Pam Muscarello, Ex Director
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Theo Katahena, DBA	
2	Ensuring that research expenditures are covered by funds from sponsors.	Theo Katahena, DBA	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Evan McWhirter, System Administrator 1	Mohammad Saklayen, Exe. Director
2	Ensuring that critical data back up occurs.	Evan McWhirter, System Administrator 1	Mohammad Saklayen, Exe. Director
3	Ensuring that procedures such as password controls are followed.	Evan McWhirter, System Administrator 1	
4	Reporting of suspected security violations.	Evan McWhirter, System Administrator 1	