

Department Name
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.	Brenda Cook-All documentation is provided through a web based/sharepoint/electronic means	Tracy Vaughns/Belinda Collins
2	Updating the Baseline Standards Form.	Brenda Cook	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Tracy Vaughns/Belinda Collins-Kim Tran/Kelly Nguyen/Mary Robson	
2	Reviewing cost center verifications.	Brenda Cook	
3	Approving cost center verifications.	Cost Center Managers and for H0213 only -Delegation given to Brenda Cook	
4	Ensuring all cost centers are verified/approved on a timely basis.	Tracy Vaughns/Belinda Collins-Kim Tran/Kelly Nguyen/Mary Robson	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Tracy Vaughns/Belinda Collins	Brenda Cook
2	Ensuring the validity of travel and expense reimbursements.	Tracy Vaughns/Belinda Collins	Brenda Cook
3	Ensuring that goods and services are received and that timely payment is made.	Tracy Vaughns/Belinda Collins	Brenda Cook
4	Ensuring correct account coding on purchases documents.	Tracy Vaughns/Belinda Collins	Brenda Cook
5	Primary contact for inquiries to expenditure transactions.	Tracy Vaughns/Belinda Collins	Brenda Cook
6	Ensuring access and use of P-Cards and T-Cards are secure.	Tracy Vaughns/Belinda Collins/Rhonda James/Maria Balderas/Celia Galvan/Barbara Rusin Yacovangelo	
7	Ensuring P-Card transactions are adequately documented and benefit the university.	Tracy Vaughns/Belinda Collins/Rhonda James/Maria Balderas/Celia Galvan/Barbara Rusin Yacovangelo	
8	Ensuring T-Card transactions are adequately documented and benefit the university.	Tracy Vaughns/Belinda Collins/Rhonda James/Maria Balderas/Celia Galvan/Barbara Rusin Yacovangelo	
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.	Tracy Vaughns/Belinda Collins	Maria Balderas/May Lew/Celia Galvan
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Tracy Vaughns/Belinda Collins	Maria Balderas/May Lew/Celia Galvan
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Tracy Vaughns/Belinda Collins	Maria Balderas/May Lew/Celia Galvan
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Tracy Vaughns/Belinda Collins	Maria Balderas/May Lew/Celia Galvan
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.	Tracy Vaughns/Belinda Collins	Maria Balderas/May Lew/Celia Galvan
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	Tracy Vaughns/Belinda Collins/Maria Balderas/Barbara Rusin Yacovangelo	
7	Verifying that the eTermination Checklist is completed by all required departments no more than two weeks after termination.	Tracy Vaughns/Belinda Collins/Maria Balderas	
8	Ensuring terminated employees are no longer charged to departmental cost centers.	Tracy Vaughns/Belinda Collins	
9	Maintaining departmental personnel files.	Tracy Vaughns/Belinda Collins	
10	Consistent and efficient responses to inquiries.	Tracy Vaughns/Belinda Collins	
11	Hire ePAR's should be processed at least 1 week prior to start date.	Tracy Vaughns/Belinda Collins	
12	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Tracy Vaughns/Belinda Collins	

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CASH HANDLING -Note: Staff within Admissions & RAR prepare fee documentation which is processed directly by Student Financial Services			
1	Collecting cash, checks, etc.	May Lew/Maria Balderas/Celia Galvan/Barbara Rusin/Monica Bennett/Jean Palmquist/Annie Aguanno/Kelly Nguyen/Mary Robson/	Tracy Vaughns/Belinda Collins-Kim Tran
2	Reconciling cash, checks, etc. to receipts.	Tracy Vaughns/Belinda Collins/May Lew/Kim Tran/Kelly Nguyen/Mary Robson	
3	Preparing deposits.	May Lew/Maria Balderas/Celia Galvan/Monica Bennett/Jean Palmquist/Annie Aguanno/Kelly Nguyen/Mary Robson	Tracy Vaughns/Belinda Collins-Kim Tran
4	Preparing Journal Entries.	May Lew/Maria Balderas/Celia Galvan-Kelly Nguyen/Mary Robson	Tracy Vaughns/Belinda Collins-Kim Tran
5	Verifying deposits posted correctly in the Finance System.	Tracy Vaughns/Belinda Collins-Kim Tran	Brenda Cook
6	Adequacy of physical safeguards of cash receipts and equivalent.	Tracy Vaughns/Belinda Collins-Kim Tran	May Lew/Maria Balderas/Celia Galvan-Kelly Nguyen/Mary Robson
7	Secure deposits via UHDPS to Student Financial Services.	Department business staff call police for pick up	
8	Ensuring deposits are made timely.	Tracy Vaughns/Belinda Collins/May Lew/Maria Balderas/Celia Galvan/Monica Bennett/Jean Palmquist/Annie Aguanno/Kim Tran/Kelly Nguyen/Mary Robson	
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Brenda Cook	Tracy Vaughns/Belinda Collins
10	Updating Cash Handling Procedures as needed.	Tracy Vaughns/Belinda Collins-Kim Tran	Brenda Cook
11	Distribution of Cash Handling Procedures to employees who handle cash.	Tracy Vaughns/Belinda Collins-Kim Tran	Brenda Cook
12	Consistent and efficient responses to inquiries.	Brenda Cook/Tracy Vaughns/Belinda Collins-Kim Tran	May Lew/Maria Balderas/Celia Galvan-Kelly Nguyen/Mary Robson
13	Ensuring all employees who complete or approve credit card journals have completed the Credit Card Accounting training.	Tracy Vaughns/Belinda Collin/Brenda Cook	
14	Ensuring all access and use of credit card information is secure.	Tracy Vaughns/Belinda Collins/Rhonda James/Maria Balderas/Celia Galvan/Barbara Rusin Yacovangelo	
PETTY CASH			
1	Preparing petty cash disbursements.	N/A	
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	
4	Approving petty cash disbursements.	N/A	
5	Replenishing the petty cash fund timely.	N/A	
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	
7	Ensuring the petty cash fund is balanced after each disbursement.	N/A	
8	Ensuring the change fund is balanced daily, weekly or monthly.	N/A	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Tracy Vaughns/Belinda Collins	Brenda Cook

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PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Dept Property Custodians	
2	Ensuring the annual inventory was completed correctly.	Dept Property Custodians	Brenda Cook
3	Tagging equipment.	Dept Property Custodians	
4	Approving requests for removal of equipment from campus.	Department Heads/Property Custodians	
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Online self-disclosure-Brenda Cook run query to verify completion	
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Online self-disclosure-Brenda Cook run query to verify completion	
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	N/A	

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ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	
2	Billing.	Registrar Prcessing Team evaluates collection-Billing is based on charges for transcripts & diplomas.	
3	Collection.	Registrar Prcessing Team evaluates collection	
4	Recording.	Owed funds determined by the Cashier department	
5	Monitoring credit extended.	N/A	
6	Approving write-offs.	The business office prepares documentation for write-off for General Accounting	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Tracy Vaughns/Belinda Collins/Kim Tran	Brenda Cook
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Designated IT Manager for each department	
2	Ensuring that critical data back up occurs.	Designated IT Manager for each department	
3	Ensuring that procedures such as password controls are followed.	Designated IT Manager for each department	
4	Reporting of suspected security violations.	Enrollment Mangement Staff have the capability of reporting	