

Information Logistics Technology - H0137  
Baseline Standards  
FY 2019

| Description of Responsibility                                      |  | Responsible Person(s) (Name/Title) |                             |
|--|--|------------------------------------|-----------------------------|
|  |  | Primary (Required)                 | Secondary (Optional)        |
| <b>DEPARTMENTAL POLICIES &amp; PROCEDURES / BASELINE STANDARDS</b> |  |                                    |                             |
| 1  | Ensuring the Departmental Policy and Procedures manual is current.   | Suleyka Cruzalta/ABA               | David McMullen/Dir, Bus Ops |
| 2  | Updating the Baseline Standards Form.  | Suleyka Cruzalta/ABA               | David McMullen/Dir, Bus Ops |
| <b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>             |  |                                    |                             |
| 1  | Preparing cost center verifications.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 2  | Reviewing cost center verifications.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 3  | Approving cost center verifications.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 4  | Ensuring all cost centers are verified/approved on a timely basis.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| <b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>              |  |                                    |                             |
| 1  | Ensuring valid authorization of purchase documents.  | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 2  | Ensuring the validity of travel and expense reimbursements.  | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 3  | Ensuring that goods and services are received and that timely payment is made.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 4  | Ensuring correct account coding on purchases documents.  | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 5  | Primary contact for inquiries to expenditure transactions.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| <b>PAYROLL / HUMAN RESOURCES</b>                                   |  |                                    |                             |
| 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. | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 2  | Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 3  | Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.                        | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 4  | Completing termination clearance procedures.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 5  | Ensuring terminated employees are no longer charged to departmental cost centers.  | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 6  | Maintaining departmental Personnel files.  | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 7  | Ensuring valid authorization of new hires.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 8  | Ensuring valid authorization of changes in compensation rates.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 9  | Ensuring the accurate input of changes to the HR System.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 10   | Consistent and efficient responses to inquiries.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |

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| <b>CASH HANDLING</b>           |  |                                    |                             |
| 1                              | Collecting cash, checks, etc.  | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 2                              | Reconciling cash, checks, etc. to receipts.  | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 3                              | Preparing deposits.  | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 4                              | Preparing Journal Entries.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 5                              | Verifying deposits posted correctly in the Finance System.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 6                              | Adequacy of physical safeguards of cash receipts and equivalent.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 7                              | Secure deposits via UHDPS to Student Financial Services.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 8                              | Ensuring deposits are made timely.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 9                              | Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.                       | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 10                             | Updating Cash Handling Procedures as needed.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 11                             | Distribution of Cash Handling Procedures to employees who handle cash.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| 12                             | Consistent and efficient responses to inquiries.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| <b>PETTY CASH</b>              |  |                                    |                             |
| 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                          |
| <b>CONTRACT ADMINISTRATION</b> |  |                                    |                             |
| 1                              | Ensuring departmental personnel comply with contract administration policies/procedures.   | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA        |
| <b>PROPERTY MANAGEMENT</b>     |  |                                    |                             |
| 1                              | Performing the annual inventory.   | Vinh Trinh/Lan Admin               | Tom Jones/Dir, Coll Its     |
| 2                              | Ensuring the annual inventory was completed correctly.   | Vinh Trinh/Lan Admin               | Tom Jones/Dir, Coll Its     |
| 3                              | Tagging equipment.   | Vinh Trinh/Lan Admin               | Tom Jones/Dir, Coll Its     |
| 4                              | Approving requests for removal of equipment from campus.   | Vinh Trinh/Lan Admin               | Tom Jones/Dir, Coll Its     |
| <b>DISCLOSURE FORMS</b>        |  |                                    |                             |
| 1                              | Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.  | Vicki Bell/Research Admin          | David McMullen/Dir, Bus Ops |
| 2                              | Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.                               | Vicki Bell/Research Admin          | David McMullen/Dir, Bus Ops |
| 3                              | Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research. | Vicki Bell/Research Admin          | David McMullen/Dir, Bus Ops |

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|                               |   | Primary (Required)                 | Secondary (Optional)    |
| ACCOUNTS RECEIVABLE           |   |                                    |                         |
| 1                             | Extending of credit.  | NA                                 | NA                      |
| 2                             | Billing.  | NA                                 | NA                      |
| 3                             | Collection.   | NA                                 | NA                      |
| 4                             | Recording.  | NA                                 | NA                      |
| 5                             | Monitoring credit extended.   | NA                                 | NA                      |
| 6                             | Approving write-offs.   | NA                                 | NA                      |
| NEGATIVE BALANCES             |   |                                    |                         |
| 1                             | Ensuring that all fund groups for each Dept ID have positive fund equity at year-end. | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA    |
| 2                             | Ensuring that research expenditures are covered by funds from sponsors.               | Alicia Fowler/DBA                  | Suleyka Cruzalta/ABA    |
| DEPARTMENTAL COMPUTING        |   |                                    |                         |
| 1                             | Management of the departments' information technology resources.                      | Vinh Trinh/Lan Admin               | Tom Jones/Dir, Coll Its |
| 2                             | Ensuring that critical data back up occurs.   | Vinh Trinh/Lan Admin               | Tom Jones/Dir, Coll Its |
| 3                             | Ensuring that procedures such as password controls are followed.                      | Vinh Trinh/Lan Admin               | Tom Jones/Dir, Coll Its |
| 4                             | Reporting of suspected security violations.   | Vinh Trinh/Lan Admin               | Tom Jones/Dir, Coll Its |