

H0087  
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.	Elizabeth Shepard, DBA	Margaret Blake, Chair
2	Updating the Baseline Standards Form.	Elizabeth Shepard, DBA	Margaret Blake, Chair
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
2	Reviewing cost center verifications.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
3	Approving cost center verifications.	Margaret Blake, Chair	
4	Ensuring all cost centers are verified/approved on a timely basis.	Elizabeth Shepard, DBA	Margaret Blake, Chair
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Elizabeth Shepard, DBA	Margaret Blake, Chair
2	Ensuring the validity of travel and expense reimbursements.	Elizabeth Shepard, DBA	Margaret Blake, Chair
3	Ensuring that goods and services are received and that timely payment is made.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
4	Ensuring correct account coding on purchases documents.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
5	Primary contact for inquiries to expenditure transactions.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
<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.	Elizabeth Shepard, DBA	Margaret Blake, Chair
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Elizabeth Shepard, DBA	Margaret Blake, Chair
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
4	Completing termination clearance procedures.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
6	Maintaining departmental Personnel files.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
7	Ensuring valid authorization of new hires.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
8	Ensuring valid authorization of changes in compensation rates.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
9	Ensuring the accurate input of changes to the HR System.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator

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10 Consistent and efficient responses to inquiries.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
<b>CASH HANDLING</b>		
1 Collecting cash, checks, etc.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
2 Reconciling cash, checks, etc. to receipts.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
3 Preparing deposits.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
4 Preparing Journal Entries.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
5 Verifying deposits posted correctly in the Finance System.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
6 Adequacy of physical safeguards of cash receipts and equivalent.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
7 Secure deposits via UHDPS to Student Financial Services.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
8 Ensuring deposits are made timely.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Elizabeth Shepard, DBA	Margaret Blake, Chair
10 Updating Cash Handling Procedures as needed.	Elizabeth Shepard, DBA	Margaret Blake, Chair
11 Distribution of Cash Handling Procedures to employees who handle cash.	Elizabeth Shepard, DBA	
12 Consistent and efficient responses to inquiries.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
<b>PETTY CASH</b>		
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	
<b>CONTRACT ADMINISTRATION</b>		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Elizabeth Shepard, DBA	Margaret Blake, Chair
<b>PROPERTY MANAGEMENT</b>		
1 Performing the annual inventory.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator

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2	Ensuring the annual inventory was completed correctly.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
3	Tagging equipment.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
4	Approving requests for removal of equipment from campus.	Elizabeth Shepard, DBA	Maria Gallegos, Financial Coordinator
<b>DISCLOSURE FORMS</b>			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Margaret Blake, Chair	Elizabeth Shepard, DBA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Margaret Blake, Chair	Elizabeth Shepard, DBA
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Margaret Blake, Chair	Elizabeth Shepard, DBA
<b>ACCOUNTS RECEIVABLE</b>			
1	Extending of credit.	N/A	
2	Billing.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
3	Collection.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
4	Recording.	Maria Gallegos, Financial Coordinator	Elizabeth Shepard, DBA
5	Monitoring credit extended.	N/A	
6	Approving write-offs.	Elizabeth Shepard, DBA	Margaret Blake, Chair
<b>NEGATIVE BALANCES</b>			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Elizabeth Shepard, DBA	Margaret Blake, Chair
2	Ensuring that research expenditures are covered by funds from sponsors.	Elizabeth Shepard, DBA	Margaret Blake, Chair
<b>DEPARTMENTAL COMPUTING</b>			
1	Management of the departments' information technology resources.	Ali Muhammed, CLASS IT	Margaret Blake, Chair
2	Ensuring that critical data back up occurs.	Ali Muhammed, CLASS IT	Margaret Blake, Chair
3	Ensuring that procedures such as password controls are followed.	Ali Muhammed, CLASS IT	Margaret Blake, Chair
4	Reporting of suspected security violations.	Ali Muhammed, CLASS IT	Margaret Blake, Chair