

Department of Geology  
Baseline Standards  
FY 2013

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.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
2	Updating the Baseline Standards Form.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
2	Reviewing cost center verifications.	Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
3	Approving cost center verifications.	Responsible PI	Laura Bell/DBA
4	Ensuring all cost centers are verified/approved on a timely basis.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Smita Ketkar/Asst.DBA Natalie Wilmore/Fin. Assistant Penny Maher/Program Coordinator Tram Nguyen/Program Manager	Smita Ketkar/Assist. D.B.A
2	Ensuring the validity of travel and expense reimbursements.	Smita Ketkar/Asst.DBA Natalie Wilmore/Fin. Assistant Penny Maher/Program Coordinator Tram Nguyen/Program Manager	Laura Bell/DBA
3	Ensuring that goods and services are received and that timely payment is made.	Smita Ketkar/Asst.DBA Natalie Wilmore/Fin. Assistant Penny Maher/Program Coordinator Tram Nguyen/Program Manager	Laura Bell/DBA
4	Ensuring correct account coding on purchases documents.	Smita Ketkar/Asst.DBA Natalie Wilmore/Fin. Assistant Penny Maher/Program Coordinator Tram Nguyen/Program Manager	Laura Bell/DBA
5	Primary contact for inquiries to expenditure transactions.	Smita Ketkar/Asst.DBA Natalie Wilmore/Fin. Assistant Penny Maher/Program Coordinator Tram Nguyen/Program Manager	Laura Bell/DBA
<b>PAYROLL / HUMAN RESOURCES</b>			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
2	Reconciling bi-weekly leave accruals to the HR System.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
4	Ensuring all monthly leave is recorded and approved in the HR System.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
6	Completing termination clearance procedures.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA

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7	Ensuring terminated employees are no longer charged to departmental cost centers.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
8	Paycheck distribution.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
9	Maintaining departmental Personnel files.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
10	Ensuring valid authorization of new hires.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
11	Ensuring valid authorization of changes in compensation rates.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
12	Ensuring the accurate input of changes to the HR System.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
13	Propriety of leave account classification on time records.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
14	Consistent and efficient responses to inquiries.	Laura Bell/DBA Ashley Tran/Admin Coordinator Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
<b>CASH HANDLING</b>			
1	Collecting cash, checks, etc.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
2	Reconciling cash, checks, etc. to receipts.	Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
3	Preparing deposits.	Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
4	Preparing Journal Entries.	Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
5	Verifying deposits posted correctly in the Finance System.	Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
6	Adequacy of physical safeguards.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
7	Transporting deposits to Student Financial Services.	Campus Police	
8	Ensuring deposits are made timely.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
10	Updating Cash Handling Procedures as needed.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
11	Distribution of Cash Handling Procedures to employees who handle cash.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
12	Consistent and efficient responses to inquiries.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
<b>PETTY CASH</b>			
1	Preparing petty cash disbursements.	N/A	N/A
2	Ensuring petty cash disbursements are not for more than \$100.	N/A	N/A
3	Ensuring petty cash disbursements are made for only authorized purposes.	N/A	N/A
4	Approving petty cash disbursements.	N/A	N/A
5	Replenishing the petty cash fund timely.	N/A	N/A

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6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
<b>LONG DISTANCE CHARGES</b>			
1	Manager review of long distance charges for unusual activity.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A
<b>CONTRACT ADMINISTRATION</b>			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Laura Bell/DBA Smita Ketkar/Asst.DBA Penny Maher/Program Coordinator Tram Nguyen/Program Manager	Laura Bell/DBA
<b>PROPERTY MANAGEMENT</b>			
1	Performing the annual inventory.	Laura Bell/DBA	Laura Bell/DBA
2	Ensuring the annual inventory was completed correctly.	Laura Bell/DBA	Laura Bell/DBA
3	Tagging equipment.	Laura Bell/DBA	Laura Bell/DBA
4	Approving requests for removal of equipment from campus.	Laura Bell/DBA	Laura Bell/DBA
<b>DISCLOSURE FORMS</b>			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A Ashley Tran/Admin Coordinator
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A Ashley Tran/Admin Coordinator
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Laura Bell/DBA	Smita Ketkar/Assist. D.B.A Ashley Tran/Admin Coordinator
<b>ACCOUNTS RECEIVABLE</b>			
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
<b>NEGATIVE BALANCES</b>			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Smita Ketkar/Assist. D.B.A	Laura Bell/DBA
2	Ensuring that research expenditures are covered by funds from sponsors.		Laura Bell/DBA
<b>DEPARTMENTAL COMPUTING</b>			
1	Management of the departments' information technology resources.	Jay Krishnan/Lan Administrator Jason Ognosky/Computer Support Analyst	Laura Bell/DBA
2	Ensuring that critical data back up occurs.	Jay Krishnan/Lan Administrator Jason Ognosky/Computer Support Analyst	Laura Bell/DBA
3	Ensuring that procedures such as password controls are followed.	Jay Krishnan/Lan Administrator Jason Ognosky/Computer Support Analyst	Laura Bell/DBA
4	Reporting of suspected security violations.	Jay Krishnan/Lan Administrator Jason Ognosky/Computer Support Analyst	Laura Bell/DBA