

Department of Physics  
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.	Jennifer Chin-Davis (AOD)	Cindy Victorian (Accountant II)
2	Updating the Baseline Standards Form.	Jennifer Chin-Davis (AOD)	NA
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Cincy Victorian (Accountant II)	Jennifer Chin-Davis (AOD)
2	Reviewing cost center verifications.	Cost Center Managers	Jennifer Chin-Davis (AOD)
3	Approving cost center verifications.	Cost Center Managers	Jennifer Chin-Davis (AOD)
4	Ensuring all cost centers are verified/approved on a timely basis.	Cincy Victorian (Accountant II)	Jennifer Chin-Davis (AOD)
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Linda Joki (Fin. Asst II)	Jennifer Chin-Davis (AOD)
2	Ensuring the validity of travel and expense reimbursements.	Ian Wright (Fin. Coord.)	Jennifer Chin-Davis (AOD)
3	Ensuring that goods and services are received and that timely payment is made.	Linda Joki (Fin. Asst II)	Jennifer Chin-Davis (AOD)
4	Ensuring correct account coding on purchases documents.	Linda Joki (Fin. Asst II)	Cindy Victorian (Accountant II) Jennifer Chin-Davis (AOD)
5	Primary contact for inquiries to expenditure transactions.	Linda Joki (Fin. Asst II)	Cindy Victorian (Accountant II) Jennifer Chin-Davis (AOD)
<b>PAYROLL / HUMAN RESOURCES</b>			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
2	Reconciling bi-weekly leave accruals to the HR System.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
4	Ensuring all monthly leave is recorded and approved in the HR System.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
6	Completing termination clearance procedures.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Sanjuana Gutierrez (Admin. Coord.)	Cindy Victorian (Accountant II) Jennifer Chin-Davis (AOD)
8	Paycheck distribution.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
9	Maintaining departmental Personnel files.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
10	Ensuring valid authorization of new hires.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
11	Ensuring valid authorization of changes in compensation rates.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
12	Ensuring the accurate input of changes to the HR System.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
13	Propriety of leave account classification on time records.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
14	Consistent and efficient responses to inquiries.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
<b>CASH HANDLING</b>			

Department of Physics  
Baseline Standards  
FY 2013

Description of Responsibility	Responsible Person(s) (Name/Title)	
	Primary (Required)	Secondary (Optional)
1 Collecting cash, checks, etc.	Linda Joki (Fin. Asst II)	Cindy Victorian (Accountant II)
2 Reconciling cash, checks, etc. to receipts.	Linda Joki (Fin. Asst II)	Cindy Victorian (Accountant II)
3 Preparing deposits.	Linda Joki (Fin. Asst II)	Cindy Victorian (Accountant II)
4 Preparing Journal Entries.	Linda Joki (Fin. Asst II)	Cindy Victorian (Accountant II)
5 Verifying deposits posted correctly in the Finance System.	Cincy Victorian (Accountant II)	Jennifer Chin-Davis (AOD)
6 Adequacy of physical safeguards.	Linda Joki (Fin. Asst II)	Cindy Victorian (Accountant II)
7 Transporting deposits to Student Financial Services.	UHPD	NA
8 Ensuring deposits are made timely.	Linda Joki (Fin. Asst II)	Cindy Victorian (Accountant II)
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Cindy Victorian (Accountant II)	Jennifer Chin-Davis (AOD)
10 Updating Cash Handling Procedures as needed.	Cindy Victorian (Accountant II)	Jennifer Chin-Davis (AOD)
11 Distribution of Cash Handling Procedures to employees who handle cash.	Cindy Victorian (Accountant II)	Jennifer Chin-Davis (AOD)
12 Consistent and efficient responses to inquiries.	Cindy Victorian (Accountant II)	Jennifer Chin-Davis (AOD)
<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>LONG DISTANCE CHARGES</b>		
1 Manager review of long distance charges for unusual activity.	Jackqueline Owens (Office Asst.)	Cindy Victorian (Accountant II)
2 Ensuring personal calls are reimbursed within 10 days from the billing date.	Jackqueline Owens (Office Asst.)	Cindy Victorian (Accountant II)
<b>CONTRACT ADMINISTRATION</b>		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Jennifer Chin-Davis (AOD)	NA
<b>PROPERTY MANAGEMENT</b>		
1 Performing the annual inventory.	Andrew Fortney (IT Support)	Ian Wright (Fin. Coord.)
2 Ensuring the annual inventory was completed correctly.	Andrew Fortney (IT Support)	Ian Wright (Fin. Coord.)
3 Tagging equipment.	Andrew Fortney (IT Support)	Ian Wright (Fin. Coord.)
4 Approving requests for removal of equipment from campus.	Andrew Fortney (IT Support)	Ian Wright (Fin. Coord.)
<b>DISCLOSURE FORMS</b>		

Department of Physics  
Baseline Standards  
FY 2013

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Sanjuana Gutierrez (Admin. Coord.)	Jennifer Chin-Davis (AOD)
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.	Cincy Victorian (Accountant II)	Jennifer Chin-Davis (AOD)
2	Ensuring that research expenditures are covered by funds from sponsors.	Cincy Victorian (Accountant II)	Jennifer Chin-Davis (AOD)
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Andrew Fortney (IT Support)	Jennifer Chin-Davis (AOD)
2	Ensuring that critical data back up occurs.	Andrew Fortney (IT Support)	Jennifer Chin-Davis (AOD)
3	Ensuring that procedures such as password controls are followed.	Andrew Fortney (IT Support)	Jennifer Chin-Davis (AOD)
4	Reporting of suspected security violations.	Andrew Fortney (IT Support)	Jennifer Chin-Davis (AOD)