

Plant Operations  
Baseline Standards  
FY 2017

| 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.                                                                                                           | Lisa Berry (Director Business Operations)                 | George Rea (Asst Dir, Business Operations)    |
| 2                                                                  | Updating the Baseline Standards Form.                                                                                                                                        | Lisa Berry (Director Business Operations)                 | George Rea (Asst Dir, Business Operations)    |
| <b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>             |                                                                                                                                                                              |                                                           |                                               |
| 1                                                                  | Preparing cost center verifications.                                                                                                                                         | Jaleesa Washington (Accountant 2)                         | Leche Hunter-Mayes (Asst. DBA)                |
| 2                                                                  | Reviewing cost center verifications.                                                                                                                                         | Victor Kalani (Asst Dir, Business Operations)             | George Rea (Asst Dir, Business Operations)    |
| 3                                                                  | Approving cost center verifications.                                                                                                                                         | Victor Kalani (Asst Dir, Business Operations)             | George Rea (Asst Dir, Business Operations)    |
| 4                                                                  | Ensuring all cost centers are verified/approved on a timely basis.                                                                                                           | Lisa Berry (Director Business Operations)                 | Leche Hunter-Mayes (Asst. DBA)                |
| <b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>              |                                                                                                                                                                              |                                                           |                                               |
| 1                                                                  | Ensuring valid authorization of purchase documents.                                                                                                                          | Rayna Brown (Asst. DBA)                                   | George Rea (Asst Dir, Business Operations)    |
| 2                                                                  | Ensuring the validity of travel and expense reimbursements.                                                                                                                  | Rayna Brown (Asst. DBA)                                   | George Rea (Asst Dir, Business Operations)    |
| 3                                                                  | Ensuring that goods and services are received and that timely payment is made.                                                                                               | Rayna Brown (Asst. DBA)                                   | George Rea (Asst Dir, Business Operations)    |
| 4                                                                  | Ensuring correct account coding on purchases documents.                                                                                                                      | Rayna Brown (Asst. DBA)                                   | George Rea (Asst Dir, Business Operations)    |
| 5                                                                  | Primary contact for inquiries to expenditure transactions.                                                                                                                   | Rayna Brown (Asst. DBA)                                   | George Rea (Asst Dir, Business Operations)    |
| <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. | Cynthia King (HR Coord)/<br>Erika Diaz (HR/Payroll Coord) | Victor Kalani (Asst Dir, Business Operations) |
| 2                                                                  | Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.                                                                                     | Cynthia King (HR Coord)/<br>Erika Diaz (HR/Payroll Coord) | Victor Kalani (Asst Dir, Business Operations) |
| 3                                                                  | Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.                        | Cynthia King (HR Coord)/<br>Erika Diaz (HR/Payroll Coord) | Victor Kalani (Asst Dir, Business Operations) |
| 4                                                                  | Completing termination clearance procedures.                                                                                                                                 | Cynthia King (HR Coord)/<br>Erika Diaz (HR/Payroll Coord) | Victor Kalani (Asst Dir, Business Operations) |
| 5                                                                  | Ensuring terminated employees are no longer charged to departmental cost centers.                                                                                            | Victor Kalani (Asst Dir, Business Operations)             | Cynthia King (HR Coord)/                      |
| 6                                                                  | Maintaining departmental Personnel files.                                                                                                                                    | Cynthia King (HR Coord)/<br>Erika Diaz (HR/Payroll Coord) | Victor Kalani (Asst Dir, Business Operations) |
| 7                                                                  | Ensuring valid authorization of new hires.                                                                                                                                   | Victor Kalani (Asst Dir, Business Operations)             | Cynthia King (HR Coord)/                      |
| 8                                                                  | Ensuring valid authorization of changes in compensation rates.                                                                                                               | Victor Kalani (Asst Dir, Business Operations)             | Cynthia King (HR Coord)/                      |
| 9                                                                  | Ensuring the accurate input of changes to the HR System.                                                                                                                     | Victor Kalani (Asst Dir, Business Operations)             | Cynthia King (HR Coord)/                      |
| 10                                                                 | Consistent and efficient responses to inquiries.                                                                                                                             | Victor Kalani (Asst Dir, Business Operations)             | Cynthia King (HR Coord)/                      |

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| <b>CASH HANDLING</b>           |                                                                                                                                  |                                                                                           |                                               |
| 1                              | Collecting cash, checks, etc.                                                                                                    | Sharon House (Accountant 3)                                                               | Tammy Talley (Financial Coord. I)             |
| 2                              | Reconciling cash, checks, etc. to receipts.                                                                                      | Sharon House (Accountant 3)                                                               | Tammy Talley (Financial Coord. I)             |
| 3                              | Preparing deposits.                                                                                                              | Tammy Talley (Financial Coord. I)                                                         | Sharon House (Accountant 3)                   |
| 4                              | Preparing Journal Entries.                                                                                                       | Tammy Talley (Financial Coordinator I)                                                    | Sharon House (Accountant 3)                   |
| 5                              | Verifying deposits posted correctly in the Finance System.                                                                       | Jaleesa Washington (Accountant 2)                                                         | George Rea (Asst Dir, Business Operations)    |
| 6                              | Adequacy of physical safeguards of cash receipts and equivalent.                                                                 | Tammy Talley (Financial Coord. I)                                                         | Sharon House (Accountant 3)                   |
| 7                              | Secure deposits via UHDPS to Student Financial Services.                                                                         | /Tammy Talley (Financial Coord. I)                                                        | Sharon House (Accountant 3)                   |
| 8                              | Ensuring deposits are made timely.                                                                                               | Sharon House (Accountant 3)                                                               | Rayna Brown (Asst. DBA)                       |
| 9                              | Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training. | Sharon House (Accountant 3)                                                               | George Rea (Asst Dir, Business Operations)    |
| 10                             | Updating Cash Handling Procedures as needed.                                                                                     | Sharon House (Accountant 3)                                                               | Rayna Brown (Asst. DBA)                       |
| 11                             | Distribution of Cash Handling Procedures to employees who handle cash.                                                           | Sharon House (Accountant 3)                                                               | Rayna Brown (Asst. DBA)                       |
| 12                             | Consistent and efficient responses to inquiries.                                                                                 | Sharon House (Accountant 3)                                                               | Rayna Brown (Asst. DBA)                       |
| <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.                                         | George Rea (Asst Dir, Business Operations)                                                | Leche Hunter-Mayes (Asst. DBA)                |
| <b>PROPERTY MANAGEMENT</b>     |                                                                                                                                  |                                                                                           |                                               |
| 1                              | Performing the annual inventory.                                                                                                 | Rufus Kemp (Mgr, Program 2 Facilities Management)/Chad Thome (Senior IT Business Analyst) | Aleese Gulick (Mgr Program 2)                 |
| 2                              | Ensuring the annual inventory was completed correctly.                                                                           | Rufus Kemp (Mgr, Program 2 Facilities Management)/Chad Thome (Senior IT Business Analyst) | Aleese Gulick (Mgr Program 2)                 |
| 3                              | Tagging equipment.                                                                                                               | Rufus Kemp (Mgr, Program 2 Facilities Management)/Chad Thome (Senior IT Business Analyst) | Aleese Gulick (Mgr Program 2)                 |
| 4                              | Approving requests for removal of equipment from campus.                                                                         | Rufus Kemp (Mgr, Program 2 Facilities Management)/Chad Thome (Senior IT Business Analyst) | Aleese Gulick (Mgr Program 2)                 |
| <b>DISCLOSURE FORMS</b>        |                                                                                                                                  |                                                                                           |                                               |
| 1                              | Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.                  | Lisa Berry (Director Business Operations)                                                 | Victor Kalani (Asst Dir, Business Operations) |

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| <b>Description of Responsibility</b> |                                                                                                                                                        |                                           |                                               |
| 2                                    | Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.                               | Lisa Berry (Director Business Operations) | Victor Kalani (Asst Dir, Business Operations) |
| 3                                    | Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research. | Lisa Berry (Director Business Operations) | Victor Kalani (Asst Dir, Business Operations) |

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| ACCOUNTS RECEIVABLE           |                                                                                       |                                           |                                            |
| 1                             | Extending of credit.                                                                  | NA                                        | NA                                         |
| 2                             | Billing.                                                                              | Taylor Quinn (Financial. Coord. I)        | Sharon House (Accountant 3)                |
| 3                             | Collection.                                                                           | Taylor Quinn (Financial. Coord. I)        | Sharon House (Accountant 3)                |
| 4                             | Recording.                                                                            | Taylor Quinn (Financial. Coord. I)        | Sharon House (Accountant 3)                |
| 5                             | Monitoring credit extended.                                                           | NA                                        | NA                                         |
| 6                             | Approving write-offs.                                                                 | Lisa Berry (Director Business Operations) | George Rea (Asst Dir, Business Operations) |
| NEGATIVE BALANCES             |                                                                                       |                                           |                                            |
| 1                             | Ensuring that all fund groups for each Dept ID have positive fund equity at year-end. | Lisa Berry (Director Business Operations) | George Rea (Asst Dir, Business Operations) |
| 2                             | Ensuring that research expenditures are covered by funds from sponsors.               | NA                                        | NA                                         |
| DEPARTMENTAL COMPUTING        |                                                                                       |                                           |                                            |
| 1                             | Management of the departments' information technology resources.                      |                                           |                                            |
| 2                             | Ensuring that critical data back up occurs.                                           |                                           |                                            |
| 3                             | Ensuring that procedures such as password controls are followed.                      |                                           |                                            |
| 4                             | Reporting of suspected security violations.                                           |                                           |                                            |