

University Information Technology  
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.	Georgeann Smith (Div Admin, A&F Business Operations)	Sonia Morales (Asst. DBA)
2	Updating the Baseline Standards Form.	Georgeann Smith (Div Admin, A&F Business Operations)	Sonia Morales (Asst. DBA)
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Michelle Le (Accountant 3)	Sonia Morales (Asst. DBA)
2	Reviewing cost center verifications.	Sonia Morales (Asst. DBA)	Georgeann Smith (Div Admin, A&F Business Operations)
3	Approving cost center verifications.	Sonia Morales (Asst. DBA)	Georgeann Smith (Div Admin, A&F Business Operations)
4	Ensuring all cost centers are verified/approved on a timely basis.	Georgeann Smith (Div Admin, A&F Business Operations)	Sonia Morales (Asst. DBA)
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Sonia Morales (Asst. DBA)	Cindy Victorian (Asst DBA)
2	Ensuring the validity of travel and expense reimbursements.	Cindy Victorian (Asst DBA)	Cindy Victorian (Asst DBA)
3	Ensuring that goods and services are received and that timely payment is made.	Sonia Morales (Asst. DBA)	Cindy Victorian (Asst DBA)
4	Ensuring correct account coding on purchases documents.	Sonia Morales (Asst. DBA)	Cindy Victorian (Asst DBA)
5	Primary contact for inquiries to expenditure transactions.	Sonia Morales (Asst. DBA)	Cindy Victorian (Asst 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.	May Xiong (HR Coord)	Rowena Castro (Asst. DBA)
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	May Xiong (HR Coord)	Rowena Castro (Asst. DBA)
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	May Xiong (HR Coord)	Rowena Castro (Asst. DBA)
4	Completing termination clearance procedures.	Rowena Castro (Asst. DBA)	Sonia Morales (Asst. DBA)
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Rowena Castro (Asst. DBA)	Sonia Morales (Asst. DBA)
6	Maintaining departmental Personnel files.	May Xiong (HR Coord)	Rowena Castro (Asst. DBA)
7	Ensuring valid authorization of new hires.	Rowena Castro (Asst. DBA)	Sonia Morales (Asst. DBA)
8	Ensuring valid authorization of changes in compensation rates.	Rowena Castro (Asst. DBA)	Sonia Morales (Asst. DBA)
9	Ensuring the accurate input of changes to the HR System.	Rowena Castro (Asst. DBA)	Sonia Morales (Asst. DBA)
10	Consistent and efficient responses to inquiries.	Rowena Castro (Asst. DBA)	Sonia Morales (Asst. DBA)

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<b>CASH HANDLING</b>		
1 Collecting cash, checks, etc.	Cindy Victorian (Asst. DBA)	Annette Smith (Financial Coord. I)
2 Reconciling cash, checks, etc. to receipts.	Cindy Victorian (Asst. DBA)	Annette Smith (Financial Coord. I)
3 Preparing deposits.	Annette Smith (Financial Coord. I)	Michelle Mendez (Financial Coord. I)
4 Preparing Journal Entries.	Annette Smith (Financial Coord. I)	Michelle Mendez (Financial Coord. I)
5 Verifying deposits posted correctly in the Finance System.	Michelle Le (Accountant 3)	Sonia Morales (Asst. DBA)
6 Adequacy of physical safeguards of cash receipts and equivalent.	Annette Smith (Financial Coord. I)	Cindy Victorian (Asst. DBA)
7 Secure deposits via UHDPSS to Student Financial Services.	Annette Smith (Financial Coord. I)	Cindy Victorian (Asst. DBA)
8 Ensuring deposits are made timely.	Cindy Victorian (Asst. DBA)	Sonia Morales (Asst. DBA)
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Cindy Victorian (Asst. DBA)	Sonia Morales (Asst. DBA)
10 Updating Cash Handling Procedures as needed.	Cindy Victorian (Asst. DBA)	Sonia Morales (Asst. DBA)
11 Distribution of Cash Handling Procedures to employees who handle cash.	Cindy Victorian (Asst. DBA)	Sonia Morales (Asst. DBA)
12 Consistent and efficient responses to inquiries.	Cindy Victorian (Asst. DBA)	Sonia Morales (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.	Sonia Morales (Asst. DBA)	Georgeann Smith (Div Admin, A&F Business Operations)
<b>PROPERTY MANAGEMENT</b>		
1 Performing the annual inventory.	Bill Spindler (Dir, Finance & Bus Operations UIT)	
2 Ensuring the annual inventory was completed correctly.	Bill Spindler (Dir, Finance & Bus Operations UIT)	
3 Tagging equipment.	Bill Spindler (Dir, Finance & Bus Operations UIT)	
4 Approving requests for removal of equipment from campus.	Bill Spindler (Dir, Finance & Bus Operations UIT)	
<b>DISCLOSURE FORMS</b>		
1 Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Georgeann Smith (Div Admin, A&F Business Operations)	Sonia Morales (Asst. DBA)
2 Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Georgeann Smith (Div Admin, A&F Business Operations)	Sonia Morales (Asst. DBA)
3 Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Georgeann Smith (Div Admin, A&F Business Operations)	Sonia Morales (Asst. DBA)

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ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	NA
2	Billing.	Veronica Luna (Financial Coord. II)	Cindy Victorian (Asst DBA)
3	Collection.	Veronica Luna (Financial Coord. II)	Cindy Victorian (Asst DBA)
4	Recording.	Veronica Luna (Financial Coord. II)	Cindy Victorian (Asst DBA)
5	Monitoring credit extended.	NA	NA
6	Approving write-offs.	Georgeann Smith (Div Admin, A&F Business Operations)	Sonia Morales (Asst. DBA)
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Georgeann Smith (Div Admin, A&F Business Operations)	Sonia Morales (Asst. DBA)
2	Ensuring that research expenditures are covered by funds from sponsors.	NA	NA
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	UIT Managers & Dept Heads	
2	Ensuring that critical data back up occurs.	UIT Staff (for their desktops)	
3	Ensuring that procedures such as password controls are followed.	UIT Technical Administrators	
4	Reporting of suspected security violations.	UIT Staff	