

RICS - H0043  
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.	Lori Watley, Dean's Office DBA	DeAun Ardoin, Office Coord., Bauer IT
2	Updating the Baseline Standards Form.	Lori Watley, Dean's Office DBA	Sara Brown, Director, College Business Operations
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Khanh Nguyen, Financial Analyst	
2	Reviewing cost center verifications.	Khanh Nguyen, Financial Analyst	
3	Approving cost center verifications.	Khanh Nguyen, Financial Analyst	
4	Ensuring all cost centers are verified/approved on a timely basis.	Khanh Nguyen, Financial Analyst	
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Lori Watley, Dean's Office DBA	
2	Ensuring the validity of travel and expense reimbursements.	Lori Watley, Dean's Office DBA	
3	Ensuring that goods and services are received and that timely payment is made.	Lori Watley, Dean's Office DBA	DeAun Ardoin, Office Coord., Bauer IT
4	Ensuring correct account coding on purchases documents.	Lori Watley, Dean's Office DBA	DeAun Ardoin, Office Coord., Bauer IT
5	Primary contact for inquiries to expenditure transactions.	Lori Watley, Dean's Office DBA	DeAun Ardoin, Office Coord., Bauer IT
<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.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Alejandra Rodriguez, Asst. Business Admin.
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Alejandra Rodriguez, Asst. Business Admin.
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Alejandra Rodriguez, Asst. Business Admin.
4	Completing termination clearance procedures.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Alejandra Rodriguez, Asst. Business Admin.
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Khanh Nguyen, Financial Analyst
6	Maintaining departmental Personnel files.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Melissa Niles, CBA
7	Ensuring valid authorization of new hires.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	
8	Ensuring valid authorization of changes in compensation rates.	Melissa Niles CBA, and Alejandra Rodriguez Asst.	Sara Brown, Director, College Business Operations
9	Ensuring the accurate input of changes to the HR System.	Melissa Niles CBA, and Alejandra Rodriguez Asst.	Sara Brown, Director, College Business Operations
10	Consistent and efficient responses to inquiries.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	

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<b>CASH HANDLING</b>			
1	Collecting cash, checks, etc.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Terrolyn Gunter, Asst. Business Admin
2	Reconciling cash, checks, etc. to receipts.	Terrolyn Gunter, Asst. Business Admin	
3	Preparing deposits.	Terrolyn Gunter, Asst. Business Admin	
4	Preparing Journal Entries.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Terrolyn Gunter, Asst. Business Admin
5	Verifying deposits posted correctly in the Finance System.	Khanh Nguyen, Financial Analyst	Sara Brown, Director, College Business Operations
6	Adequacy of physical safeguards of cash receipts and equivalent.	Terrolyn Gunter, Asst. Business Admin	Sara Brown, Director, College Business Operations
7	Secure deposits via UHDPDS to Student Financial Services.	Terrolyn Gunter, Asst. Business Admin	
8	Ensuring deposits are made timely.	Lori Watley, Dean's Office DBA	Terrolyn Gunter, Asst. Business Admin
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Terrolyn Gunter, Asst. Business Admin
10	Updating Cash Handling Procedures as needed.	Terrolyn Gunter, Asst. Business Admin	Sara Brown, Director, College Business Operations, Melissa Niles, CBA
11	Distribution of Cash Handling Procedures to employees who handle cash.	Terrolyn Gunter, Asst. Business Admin	Sara Brown, Director, College Business Operations, Melissa Niles, CBA
12	Consistent and efficient responses to inquiries.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Terrolyn Gunter, Asst. Business Admin
<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
6	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
<b>CONTRACT ADMINISTRATION</b>			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Lori Watley, Dean's Office DBA	Terrolyn Gunter, Asst. Business Admin
<b>PROPERTY MANAGEMENT</b>			
1	Performing the annual inventory.	Lori Watley, Dean's Office DBA	Melissa Niles, CBA
2	Ensuring the annual inventory was completed correctly.	Lori Watley, Dean's Office DBA	Melissa Niles, CBA
3	Tagging equipment.	Lori Watley, Dean's Office DBA, DeAun Ardoin, Office Coord.	Melissa Niles, CBA
4	Approving requests for removal of equipment from campus.	Sara Brown, Director, College Business Operations, Melissa	
<b>DISCLOSURE FORMS</b>			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Terrolyn Gunter, Asst. Business Admin	Sara Brown, Director, College Business Operations
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Sara Brown, Director, College Business Operations	Latha Ramchand, Dean
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Melissa Niles, CBA	Sara Brown, Director, College Business Operations

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ACCOUNTS RECEIVABLE			
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
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Khanh Nguyen, Financial Analyst	Sara Brown, Director, College Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	Khanh Nguyen, Financial Analyst	Sara Brown, Director, College Business Operations
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Peter Truong, Network Control Manager	Thomas George, Dean, Faculty Affairs, Prof. of Finance
2	Ensuring that critical data back up occurs.	Peter Truong, Network Control Manager	
3	Ensuring that procedures such as password controls are followed.	Peter Truong, Network Control Manager	
4	Reporting of suspected security violations.	Peter Truong, Network Control Manager	