

Sales Excellence Institute Department - H0435
Baseline Standards
FY 2019

| Description of Responsibility | Responsible Person(s) (Name/Title) | |
|--|--|---|
| | Primary (Required) | Secondary (Optional) |
| DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS | | |
| 1 | Ensuring the Departmental Policy and Procedures manual is current. | Saira Nadeem, Prog. Mgr. Ed Blair, Dept. Chair |
| 2 | Updating the Baseline Standards Form. | Saira Nadeem, Prog. Mgr. Ed Blair, Dept. Chair |
| FINANCIAL REPORTING - COST CENTER VERIFICATIONS | | |
| 1 | Preparing cost center verifications. | Khanh Nguyen, Financial Anlayst 2 |
| 2 | Reviewing cost center verifications. | Saira Nadeem, Prog. Mgr. Ed Blair, Dept. Chair |
| 3 | Approving cost center verifications. | Ed Blair, Dept. Chair |
| 4 | Ensuring all cost centers are verified/approved on a timely basis. | Khanh Nguyen, Financial Anlayst 2 |
| FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS | | |
| 1 | Ensuring valid authorization of purchase documents. | Saira Nadeem, Prog. Mgr. Terrolyn Gunter, Asst. Bus. Admin. |
| 2 | Ensuring the validity of travel and expense reimbursements. | Saira Nadeem, Prog. Mgr. Terrolyn Gunter, Asst. Bus. Admin. |
| 3 | Ensuring that goods and services are received and that timely payment is made. | Saira Nadeem, Prog. Mgr. Terrolyn Gunter, Asst. Bus. Admin. |
| 4 | Ensuring correct account coding on purchases documents. | Saira Nadeem, Prog. Mgr. Terrolyn Gunter, Asst. Bus. Admin. |
| 5 | Primary contact for inquiries to expenditure transactions. | Saira Nadeem, Prog. Mgr. Terrolyn Gunter, Asst. Bus. Admin. |
| PAYROLL / HUMAN RESOURCES | | |
| 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. | Saira Nadeem, Prog. Mgr. Alejandra Rodriguez, Asst. Bus. Adm. |
| 2 | Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll. | Saira Nadeem, Prog. Mgr. Alejandra Rodriguez, Asst. Bus. Adm. |
| 3 | Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports. | Saira Nadeem, Prog. Mgr. Alejandra Rodriguez, Asst. Bus. Adm. |
| 4 | Completing termination clearance procedures. | Saira Nadeem, Prog. Mgr. Alejandra Rodriguez, Asst. Bus. Adm. |
| 5 | Ensuring terminated employees are no longer charged to departmental cost centers. | Saira Nadeem, Prog. Mgr. Alejandra Rodriguez, Asst. Bus. Adm. |
| 6 | Maintaining departmental Personnel files. | Saira Nadeem, Prog. Mgr. Alejandra Rodriguez, Asst. Bus. Adm. |
| 7 | Ensuring valid authorization of new hires. | Saira Nadeem, Prog. Mgr. Alejandra Rodriguez, Asst. Bus. Adm. |
| 8 | Ensuring valid authorization of changes in compensation rates. | Saira Nadeem, Prog. Mgr. Alejandra Rodriguez, Asst. Bus. Adm. |
| 9 | Ensuring the accurate input of changes to the HR System. | Saira Nadeem, Prog. Mgr. Alejandra Rodriguez, Asst. Bus. Adm. |

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| 10 Consistent and efficient responses to inquiries. | Saira Nadeem, Prog. Mgr. | Alejandra Rodriguez, Asst. Bus. Adm. |
| CASH HANDLING | | |
| 1 Collecting cash, checks, etc. | Terrolyn Gunter, Asst Business Administrator - Finance | Andrew Nguyen - Financial Assistant II |
| 2 Reconciling cash, checks, etc. to receipts. | Andrew Nguyen - Financial Assistant II | Terrolyn Gunter, Asst Business Administrator - Finance |
| 3 Preparing deposits. | Andrew Nguyen - Financial Assistant II | Terrolyn Gunter, Asst Business Administrator - Finance |
| 4 Preparing Journal Entries. | Andrew Nguyen - Financial Assistant II | Terrolyn Gunter, Asst Business Administrator - Finance |
| 5 Verifying deposits posted correctly in the Finance System. | Khanh Nguyen, Financial Analyst 2 | Terrolyn Gunter, Asst Business Administrator - Finance |
| 6 Adequacy of physical safeguards of cash receipts and equivalent. | Terrolyn Gunter, Asst Business Administrator - Finance | Andrew Nguyen - Financial Assistant II |
| 7 Secure deposits via UHDPS to Student Financial Services. | Andrew Nguyen - Financial Assistant II | Terrolyn Gunter, Asst Business Administrator - Finance |
| 8 Ensuring deposits are made timely. | Terrolyn Gunter, Asst Business Administrator - Finance | Sara Brown, Executive Director, Business Operations |
| 9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training. | Terrolyn Gunter, Asst Business Administrator - Finance | Sara Brown, Executive Director, Business Operations |
| 10 Updating Cash Handling Procedures as needed. | Terrolyn Gunter, Asst Business Administrator - Finance | Andrew Nguyen - Financial Assistant II |
| 11 Distribution of Cash Handling Procedures to employees who handle cash. | Terrolyn Gunter, Asst Business Administrator - Finance | Andrew Nguyen - Financial Assistant II |
| 12 Consistent and efficient responses to inquiries. | Terrolyn Gunter, Asst Business Administrator - Finance | Terrolyn Gunter, Asst Business Administrator - Finance |
| PETTY CASH | | |
| 1 Preparing petty cash disbursements. | N/A | |
| 2 Ensuring petty cash disbursements are not for more than \$100. | N/A | |
| 3 Ensuring petty cash disbursements are made for only authorized purposes. | N/A | |
| 4 Approving petty cash disbursements. | N/A | |
| 5 Replenishing the petty cash fund timely. | N/A | |
| 6 Ensuring the petty cash fund is balanced after each disbursement. | N/A | |
| CONTRACT ADMINISTRATION | | |
| 1 Ensuring departmental personnel comply with contract administration policies/procedures. | Saira Nadeem, Prog. Mgr. | Ed Blair, Dept. Chair |
| PROPERTY MANAGEMENT | | |
| 1 Performing the annual inventory. | Saira Nadeem, Prog. Mgr. | |

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| 2 | Ensuring the annual inventory was completed correctly. | Francisco Lopez, DBA | |
| 3 | Tagging equipment. | Saira Nadeem, Prog. Mgr. | |
| 4 | Approving requests for removal of equipment from campus. | Ed Blair, Dept. Chair | |
| DISCLOSURE FORMS | | | |
| 1 | Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online. | Saira Nadeem, Prog. Mgr. | Melissa Niles, College Bus. Adm. |
| 2 | Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online. | Saira Nadeem, Prog. Mgr. | Melissa Niles, College Bus. Adm. |
| 3 | Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research. | Saira Nadeem, Prog. Mgr. | Melissa Niles, College Bus. Adm. |
| ACCOUNTS RECEIVABLE | | | |
| 1 | Extending of credit. | N/A | |
| 2 | Billing. | N/A | |
| 3 | Collection. | N/A | |
| 4 | Recording. | N/A | |
| 5 | Monitoring credit extended. | N/A | |
| 6 | Approving write-offs. | N/A | |
| NEGATIVE BALANCES | | | |
| 1 | Ensuring that all fund groups for each Dept ID have positive fund equity at year-end. | Khanh Nguyen, Financial Anlayst 2 | |
| 2 | Ensuring that research expenditures are covered by funds from sponsors. | Khanh Nguyen, Financial Anlayst 2 | |
| DEPARTMENTAL COMPUTING | | | |
| 1 | Management of the departments' information technology resources. | Charles Morgan, Dir. of BDT | |
| 2 | Ensuring that critical data back up occurs. | Charles Morgan, Dir. of BDT | |
| 3 | Ensuring that procedures such as password controls are followed. | Charles Morgan, Dir. of BDT | |
| 4 | Reporting of suspected security violations. | Charles Morgan, Dir. of BDT | |