

VC/VP for Legal Affairs/General Counsel/Compliance- S0006, H0019, H0176, H0304
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.	Leslie Pruski, Exec. Admin. Asst.	
2	Updating the Baseline Standards Form.	TaShawna Wilson, Ex. Dir. Business Office Operations	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Vanessa Adams, Dept. Business Admin.	
2	Reviewing cost center verifications.	TaShawna Wilson, Ex. Dir. Business Office Operations	
3	Approving cost center verifications.	Dona Cornell, VC/VP Legal Affairs/General Counsel	TaShawna Wilson, Ex. Dir. Business Office Operations
4	Ensuring all cost centers are verified/approved on a timely basis.	TaShawna Wilson, Ex. Dir. Business Office Operations	
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Vanessa Adams, Dept. Business Administrator	TaShawna Wilson, Ex. Dir. Business Office Operations
2	Ensuring the validity of travel and expense reimbursements.	Vanessa Adams, Dept. Business Administrator	TaShawna Wilson, Ex. Dir. Business Office Operations
3	Ensuring that goods and services are received and that timely payment is made.	Leslie Pruski, Exec. Administrative Assistant; Mandisa Administrator	Vanessa Adams, Dept. Business Administrator
4	Ensuring correct account coding on purchases documents.	Vanessa Adams, Dept. Business Administrator	TaShawna Wilson, Ex. Dir. Business Office Operations
5	Primary contact for inquiries to expenditure transactions.	Leslie Pruski, Exec. Administrative Assistant; Mandisa Administrator	Vanessa Adams, Dept. Business Administrator
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.	Vanessa Adams, Dept. Business Administrator	Mary Nguyen, Dept. Bus. Admin; TaShawna Wilson, Ex. Dir. Business Office
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Vanessa Adams, Dept. Business Administrator	Mary Nguyen, Dept. Bus. Admin; TaShawna Wilson, Ex. Dir. Business Office
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Vanessa Adams, Dept. Business Administrator	Mary Nguyen, Dept. Bus. Admin; TaShawna Wilson, Ex. Dir. Business Office
4	Completing termination clearance procedures.	Vanessa Adams, Dept. Business Administrator	Mary Nguyen, Dept. Bus. Admin; TaShawna Wilson, Ex. Dir. Business Office
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Vanessa Adams, Dept. Business Administrator	Mary Nguyen, Dept. Bus. Admin; TaShawna Wilson, Ex. Dir. Business Office
6	Maintaining departmental Personnel files.	Vanessa Adams, Dept. Business Administrator	Mary Nguyen, Dept. Bus. Admin; TaShawna Wilson, Ex. Dir. Business Office
7	Ensuring valid authorization of new hires.	Vanessa Adams, Dept. Business Administrator	Mary Nguyen, Dept. Bus. Admin; TaShawna Wilson, Ex. Dir. Business Office
8	Ensuring valid authorization of changes in compensation rates.	Vanessa Adams, Dept. Business Administrator	TaShawna Wilson, Ex. Dir. Business Office Operations
9	Ensuring the accurate input of changes to the HR System.	Vanessa Adams, Dept. Business Administrator	
10	Consistent and efficient responses to inquiries.	Vanessa Adams, Dept. Business Administrator	
CASH HANDLING			
1	Collecting cash, checks, etc.	Leslie Pruski, Exec. Administrative Assistant	
2	Reconciling cash, checks, etc. to receipts.	Leslie Pruski, Exec. Administrative Assistant	
3	Preparing deposits.	Vanessa Adams, Dept. Business Administrator	Mary Nguyen, Dept. Bus. Admin; TaShawna Wilson, Ex. Dir. Business Office
4	Preparing Journal Entries.	Vanessa Adams, Dept. Business Administrator	Mary Nguyen, Dept. Bus. Admin; TaShawna Wilson, Ex. Dir. Business Office

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5	Verifying deposits posted correctly in the Finance System.	Vanessa Adams, Dept. Business Administrator	
6	Adequacy of physical safeguards of cash receipts and equivalent.	Vanessa Adams, Dept. Business Administrator	
7	Secure deposits via UHDPS to Student Financial Services.	UHDPS	
8	Ensuring deposits are made timely.	Vanessa Adams, Dept. Business Administrator	
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Vanessa Adams, Dept. Business Administrator	TaShawna Wilson, Ex. Dir. Business Office Operations
10	Updating Cash Handling Procedures as needed.	TaShawna Wilson, Ex. Dir. Business Office Operations	
11	Distribution of Cash Handling Procedures to employees who handle cash.	TaShawna Wilson, Ex. Dir. Business Office Operations	Vanessa Adams, Dept. Business Administrator
12	Consistent and efficient responses to inquiries.	Vanessa Adams, Dept. Business Administrator	
PETTY CASH			
1	Preparing petty cash disbursements.	NA	
2	Ensuring petty cash disbursements are not for more than \$100.	NA	
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	
4	Approving petty cash disbursements.	NA	
5	Replenishing the petty cash fund timely.	NA	
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Vanessa Adams, Dept. Bus. Admin.	Mary Nguyen, Dept. Bus. Admin.; Vanessa Adams, Dept. Business
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Vanessa Adams, Dept. Bus. Admin.	Mary Nguyen, Dept. Bus. Admin.
2	Ensuring the annual inventory was completed correctly.	Vanessa Adams, Dept. Bus. Admin.	Mary Nguyen, Dept. Bus. Admin.
3	Tagging equipment.	Vanessa Adams, Dept. Bus. Admin.	Mary Nguyen, Dept. Bus. Admin.
4	Approving requests for removal of equipment from campus.	Dona Cornell, VC/VP Legal Affairs/General Counsel	
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	TaShawna Wilson, Ex. Dir. Business Office Operations	Vanessa Adams, Dept. Bus. Admin.
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	TaShawna Wilson, Ex. Dir. Business Office Operations	Mary Nguyen, Dept. Bus. Admin.; Vanessa Adams, Dept. Business
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	NA	
ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	
2	Billing.	NA	
3	Collection.	NA	
4	Recording.	NA	

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5	Monitoring credit extended.	NA	
6	Approving write-offs.	NA	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	TaShawna Wilson, Ex. Dir. Business Office Operations	
2	Ensuring that research expenditures are covered by funds from sponsors.	NA	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Dona Cornell, VC/VP Legal Affairs/General Counsel	
2	Ensuring that critical data back up occurs.	IT Executive Support	
3	Ensuring that procedures such as password controls are followed.	IT Executive Support	
4	Reporting of suspected security violations.	All Staff	