

SW Public Technology Center
Baseline Standards FY13

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.	Stephanie Shock (DBA)	Mary Nguyen (Asst. DBA)
2	Updating the Baseline Standards Form.	Stephanie Shock (DBA)	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
2	Reviewing cost center verifications.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
3	Approving cost center verifications.	Stephanie Shock (DBA)	Mary Nguyen (Asst. DBA)
4	Ensuring all cost centers are verified/approved on a timely basis.	Stephanie Shock (DBA)	Mary Nguyen (Asst. DBA)
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Stephanie Shock (DBA)	Mary Nguyen (Asst. DBA)
2	Ensuring the validity of travel and expense reimbursements.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
3	Ensuring that goods and services are received and that timely payment is made.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
4	Ensuring correct account coding on purchases documents.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
5	Primary contact for inquiries to expenditure transactions.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
PAYROLL / HUMAN RESOURCES			
1	Reconciling leave records to time and effort reports.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
2	Reconciling leave accruals to the payroll system.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
3	Ensuring all time and effort reports are submitted to Payroll.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
4	Reconciling time and effort reports to check registers.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
5	Completing termination clearance procedures.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
6	Ensuring terminated employees are no longer charged to departmental cost centers.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
7	Paycheck distribution.	Zaniffa Jan (Secretary II.)	Justin Brown (Accountant I)
8	Maintaining departmental Personnel files	Zaniffa Jan (Secretary II.)	Justin Brown (Accountant I)
9	Ensuring valid authorization of new hires.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
10	Ensuring valid authorization of changes in compensation rates.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
11	Ensuring the accurate input of changes to the payroll system.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
12	Propriety of leave account classification on time records.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
13	Consistent and efficient responses to inquiries.	Justin Brown (Accountant I)	Stephanie Shock (DBA)
CASH HANDLING			
1	Collecting cash, checks, etc.	Zaniffa Jan (Secretary II.)	Stephanie Shock (DBA)
2	Reconciling cash, checks, etc. to receipts.	Mary Nguyen (Asst. DBA)	Zaniffa Jan (Secretary II.)

SW Public Technology Center
Baseline Standards FY13

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
3	Preparing deposits.	Zaniffa Jan (Secretary II.)	Mary Nguyen (Asst. DBA)
4	Preparing Journal Entries.	Zaniffa Jan (Secretary II.)	Mary Nguyen (Asst. DBA)
5	Verifying deposits to the financial system.	Stephanie Shock (DBA)	Mary Nguyen (Asst. DBA)
6	Adequacy of physical safeguards.	Zaniffa Jan (Secretary II.)	Stephanie Shock (DBA)
7	Transporting deposits to Student Financial Services.	Dean's Office	
8	Ensuring deposits are made timely.	Zaniffa Jan (Secretary II.)	Stephanie Shock (DBA)
9	Ensuring "Acknowledgement of Cash Handling Duties" form is completed by all appropriate employees.	Stephanie Shock (DBA)	Mary Nguyen (Asst. DBA)
10	Updating Cash Handling Procedures as needed.	Stephanie Shock (DBA)	Mary Nguyen (Asst. DBA)
11	Consistent and efficient responses to inquiries.	Zaniffa Jan (Secretary II.)	Mary Nguyen (Asst. DBA)
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	
LONG DISTANCE / CELL PHONE CHARGES			
1	Forwarding employees long distance and cell phone charge reports.	Zaniffa Jan (Secretary II.)	Mary Nguyen (Asst. DBA)
2	Ensuring employees review their long distance and/or cell phone charge reports.	Zaniffa Jan (Secretary II.)	Mary Nguyen (Asst. DBA)
3	Ensuring personal calls are reimbursed within 10 days from the billing date.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Stephanie Shock (DBA)	Mary Nguyen (Asst. DBA)
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Robert Dial (Electrical Tech II)	Ralph Brown (Elec. Tech)
2	Ensuring the annual inventory was completed correctly.	Robert Dial (Electrical Tech II)	Ralph Brown (Elec. Tech)
3	Tagging equipment.	Robert Dial (Electrical Tech II)	Ralph Brown (Elec. Tech)
4	Approving requests for removal of equipment from campus.	Robert Dial (Electrical Tech II)	Stephanie Shock (DBA)
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete a Related Party disclosure statement.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
2	Ensuring all full time, benefits eligible, exempt staff complete a Consulting disclosure statement.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
3	Ensuring that all Principal and Co-Principal Investigators complete a Conflict of Interest disclosure statement.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)

SW Public Technology Center
Baseline Standards FY13

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	
2	Billing.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
3	Collection.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
4	Recording.	Mary Nguyen (Asst. DBA)	Stephanie Shock (DBA)
5	Monitoring credit extended.	NA	
6	Approving write-offs.	NA	
NEGATIVE BALANCES			
1	Ensuring that all fund groups have positive fund equity at year-end.	Stephanie Shock (DBA)	Director Business Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	Principle Investigators	Stephanie Shock (DBA)
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Ralph Brown (Elec. Tech)	John Young, Director ECC
2	Ensuring that critical data back up occurs.	Ralph Brown (Elec. Tech)	John Young, Director ECC
3	Ensuring that procedures such as password controls are followed.	Ralph Brown (Elec. Tech)	John Young, Director ECC
4	Reporting of suspected security violations.	Ralph Brown (Elec. Tech)	John Young, Director ECC