

College of Optometry
H0113, 114, 115
Baseline Standards
FY 2019

		Responsible Person(s) (Name/Title)	
Description of Responsibility		Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE			
1	Ensuring the Departmental Policy and Procedures manual is current.	Sandra Bazan	Jose Martinez
2	Updating the Baseline Standards Form.	Sandra Bazan	Jose Martinez
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Barbara Valles, Colleen LaBorde, Jose Martinez	Barbara Valles, Colleen LaBorde, Jose Martinez
2	Reviewing cost center verifications.	Cost Center Managers	Jose Martinez, Zagui Paredes
3	Approving cost center verifications.	Cost Center Managers	Jose Martinez, Zagui Paredes
4	Ensuring all cost centers are verified/approved on a timely basis.	Jose Martinez, Sandra Bazan	Zagui Paredes
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Mary Guzman, Maria Carreon, Jeremiah Gallegos, Renee Armacost, Sandra Bazan	Jose Martinez, Zagui Paredes
2	Ensuring the validity of travel and expense reimbursements.	Mary Guzman, Maria Carreon, Jeremiah Gallegos, Renee Armacost, Sandra Bazan	Jose Martinez, Zagui Paredes
3	Ensuring that goods and services are received and that timely payment is made.	Mary Guzman, Maria Carreon, Jeremiah Gallegos, Renee Armacost, Sandra Bazan	Jose Martinez, Zagui Paredes
4	Ensuring correct account coding on purchases documents.	Mary Guzman, Maria Carreon, Jeremiah Gallegos, Renee Armacost, Sandra Bazan	Jose Martinez, Zagui Paredes
5	Primary contact for inquiries to expenditure transactions.	Mary Guzman, Maria Carreon, Jeremiah Gallegos, Renee Armacost, Sandra Bazan	Jose Martinez, Zagui Paredes
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.	Sawsan Shatleh	Jose Martinez
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Sawsan Shatleh	Jose Martinez
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Sawsan Shatleh	Jose Martinez
4	Completing termination clearance procedures.	Jose Martinez	Zagui Paredes
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Sawsan Shatleh	Jose Martinez
6	Maintaining departmental Personnel files.	Sawsan Shatleh	Jose Martinez
7	Ensuring valid authorization of new hires.	Jose Martinez	Zagui Paredes
8	Ensuring valid authorization of changes in compensation rates.	Jose Martinez	Zagui Paredes
9	Ensuring the accurate input of changes to the HR System.	Sawsan Shatleh	Jose Martinez
10	Consistent and efficient responses to inquiries.	Sawsan Shatleh	Jose Martinez
CASH HANDLING			
1	Collecting cash, checks, etc.	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan, ASP & Alteramed designated employees, Jennifer Deakins, Debbie Martinez, Marcus Gonzales, Anynelly Moreno, Janet Garza, Melva Mendoza, Claudia Avina, Mary Alvarez	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan
2	Reconciling cash, checks, etc. to receipts.	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan
3	Preparing deposits.	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan
4	Preparing Journal Entries.	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan
5	Verifying deposits posted correctly in the Finance System.	Barbara Valles, Sandra Bazan	Jose Martinez, Zagui Paredes

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6	Adequacy of physical safeguards of cash receipts and equivalent.	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan
7	Secure deposits via UHDPS to Student Financial Services.	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan
8	Ensuring deposits are made timely.	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Jose Martinez, Sandra Bazan	Zagui Paredes
10	Updating Cash Handling Procedures as needed.	Jose Martinez, Sandra Bazan	Zagui Paredes
11	Distribution of Cash Handling Procedures to employees who handle cash.	Jose Martinez, Sandra Bazan	Zagui Paredes
12	Consistent and efficient responses to inquiries.	Mary Guzman, Brandon Addison, Barbara Valles, Maria Carreon, Sandra Bazan	Zagui Paredes
PETTY CASH			
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
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Maria Carreon, Sandra Bazan	Zagui Paredes
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Mary Martinez	Tony Cantu
2	Ensuring the annual inventory was completed correctly.	Mary Martinez	Tony Cantu
3	Tagging equipment.	Mary Martinez	Tony Cantu
4	Approving requests for removal of equipment from campus.	Earl Smith or Zagui Paredes	Earl Smith or Zagui Paredes
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Laura Frishman	Zagui Paredes
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Zagui Paredes	Zagui Paredes
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Laura Frishman	Zagui Paredes
ACCOUNTS RECEIVABLE			
1	Extending of credit.	Organizations Only- Zagui Paredes	Organizations Only- Zagui Paredes
2	Billing.	Voncille McGilbert, Cindy Swindells	Voncille McGilbert, Cindy Swindells
3	Collection.	Voncille McGilbert, Cindy Swindells	Voncille McGilbert, Cindy Swindells
4	Recording.	Voncille McGilbert, Cindy Swindells	Voncille McGilbert, Cindy Swindells
5	Monitoring credit extended.	Voncille McGilbert, Cindy Swindells	Voncille McGilbert, Cindy Swindells
6	Approving write-offs.	Dr. Marcus Piccolo	Zagui Paredes
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Jose Martinez, Sandra Bazan	Zagui Paredes
2	Ensuring that research expenditures are covered by funds from sponsors.	Colleen LaBorde	Laura Frishman, Zagui Paredes
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Darrin Nguyen, Long Nguyen	Zagui Paredes

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2	Ensuring that critical data back up occurs.	Darrin Nguyen, Long Nguyen	Zagui Paredes
3	Ensuring that procedures such as password controls are followed.	Darrin Nguyen, Long Nguyen	Zagui Paredes
4	Reporting of suspected security violations.	Darrin Nguyen, Long Nguyen	Zagui Paredes