

Business Operations - DOR
Baseline Standards
FY 2017

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.	Theodora Katahena, DBA	Paula Eakins, DBA
2	Updating the Baseline Standards Form.	Theodora Katahena, DBA	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Mila Baustista, Accountant	Sharon Kuang, Accountant
2	Reviewing cost center verifications.	Theodora Katahena, DBA	Charles Holtsclaw, DBA
3	Approving cost center verifications.	Cost Center Managers	
4	Ensuring all cost centers are verified/approved on a timely basis.	Charles Holtsclaw, DBA	Mila Baustista, Accountant
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Charles Holtsclaw, DBA	Theodora Katahena, DBA
2	Ensuring the validity of travel and expense reimbursements.	Charles Holtsclaw, DBA	Theodora Katahena, DBA
3	Ensuring that goods and services are received and that timely payment is made.	Paula Eakins, Financial Coordinator	Pammy Moore, Financial Coordinator
4	Ensuring correct account coding on purchases documents.	Paula Eakins, Financial Coordinator	Pammy Moore, Financial Coordinator
5	Primary contact for inquiries to expenditure transactions.	Paula Eakins, Financial Coordinator	Pammy Moore, Financial Coordinator
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-	Pammy Moore, Financial Coordinator	Paula Eakins, Financial Coordinator
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Pammy Moore, Financial Coordinator	Paula Eakins, Financial Coordinator
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Paula Eakins, Financial Coordinator	Pammy Moore, Financial Coordinator
4	Completing termination clearance procedures.	Paula Eakins, Financial Coordinator	Pammy Moore, Financial Coordinator
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Mila Baustista, Accountant	Sharon Kuang, Accountant
6	Maintaining departmental Personnel files.	Paula Eakins, Financial Coordinator	Pammy Moore, Financial Coordinator
7	Ensuring valid authorization of new hires.	Theodora Katahena, DBA	Charles Holtsclaw, DBA
8	Ensuring valid authorization of changes in compensation rates.	Theodora Katahena, DBA	Charles Holtsclaw, DBA
9	Ensuring the accurate input of changes to the HR System.	Theodora Katahena, DBA	Charles Holtsclaw, DBA
10	Consistent and efficient responses to inquiries.	Paula Eakins, Financial Coordinator	Pammy Moore, Financial Coordinator

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CASH HANDLING			
1	Collecting cash, checks, etc.	Imelda Cedeillo, Administrative Assistant	Ed Sierra, Administrative Asst.
2	Reconciling cash, checks, etc. to receipts.	Sharon Kuang, Accountant	Mila Baustista, Accountant
3	Preparing deposits.	Paula Eakins, Financial Coordinator	Theodora Katahena, DBA
4	Preparing Journal Entries.	Paula Eakins, Financial Coordinator	Theodora Katahena, DBA
5	Verifying deposits posted correctly in the Finance System.	Paula Eakins, Financial Coordinator	Mila Baustista, Accountant
6	Adequacy of physical safeguards of cash receipts and equivalent.	Theodora Katahena, DBA	Paula Eakins, Financial Coordinator
7	Secure deposits via UHDPS to Student Financial Services.	UHDPS	
8	Ensuring deposits are made timely.	Theodora Katahena, DBA	Paula Eakins, Financial Coordinator
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Theodora Katahena, DBA	Charles Holtsclaw, DBA
10	Updating Cash Handling Procedures as needed.	Theodora Katahena, DBA	Charles Holtsclaw, DBA
11	Distribution of Cash Handling Procedures to employees who handle cash.	Theodora Katahena, DBA	Charles Holtsclaw, DBA
12	Consistent and efficient responses to inquiries.	Paula Eakins, Financial Coordinator	Theodora Katahena, DBA
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Theodora Katahena, DBA Charles Holtsclaw, DBA	Eric Coon, Financial Coordinator
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Ed Sierra, Administrative Asst.	
2	Ensuring the annual inventory was completed correctly.	Ed Sierra, Administrative Asst.	
3	Tagging equipment.	Ed Sierra, Administrative Asst.	
4	Approving requests for removal of equipment from campus.	Ed Sierra, Administrative Asst.	

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DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Theodora Katahena, DBA	
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Theodora Katahena, DBA	
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Theodora Katahena, DBA	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Theodora Katahena, DBA Charles Holtsclaw, DBA	
2	Ensuring that research expenditures are covered by funds from sponsors.	Theodora Katahena, DBA Charles Holtsclaw, DBA	
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Evan McWhirter, User Services Specialist	Cris Milligan, AVP
2	Ensuring that critical data back up occurs.	Evan McWhirter, User Services Specialist	Cris Milligan, AVP
3	Ensuring that procedures such as password controls are followed.	Central IT	
4	Reporting of suspected security violations.	Evan McWhirter, User Services Specialist	Cris Milligan, AVP