

University Information Technology - H0398
Baseline Standards
FY 2024

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.	Sonia Morales Dir, Business Services	Bill Spindler Exec Dir Col/Div Business Ops
2	Updating the Baseline Standards Form.	Sonia Morales Dir, Business Services	Bill Spindler Exec Dir Col/Div Business Ops
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Celia Galvan Analyst, Financial 1	Sonia Morales Dir, Business Services
2	Reviewing cost center verifications.	Sonia Morales Dir, Business Services	Rowena Castro Asst Dir, Div Business Ops
3	Approving cost center verifications.	UIT Managers	Bill Spindler Exec Dir Col/Div Business Ops
4	Ensuring all cost centers are verified/approved on a timely basis.	Sonia Morales Dir, Business Services	Rowena Castro Asst Dir, Div Business Ops
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Rowena Castro Asst Dir, Div Business Ops	Sonia Morales Dir, Business Services
2	Ensuring the validity of travel and expense reimbursements.	Rowena Castro Asst Dir, Div Business Ops	Sonia Morales Dir, Business Services
3	Ensuring that goods and services are received and that timely payment is made.	Rowena Castro Asst Dir, Div Business Ops	Sonia Morales Dir, Business Services
4	Ensuring correct account coding on purchases documents.	Rowena Castro Asst Dir, Div Business Ops	Sonia Morales Dir, Business Services
5	Primary contact for inquiries to expenditure transactions.	Rowena Castro Asst Dir, Div Business Ops	Sonia Morales Dir, Business Services
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.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops
4	Completing termination clearance procedures.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops
6	Maintaining departmental Personnel files.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops
7	Ensuring valid authorization of new hires.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops
8	Ensuring valid authorization of changes in compensation rates.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops
9	Ensuring the accurate input of changes to the HR System.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops
10	Consistent and efficient responses to inquiries.	Bo Bartos Asst, Financial 2	Rowena Castro Asst Dir, Div Business Ops

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CASH HANDLING			
1	Collecting cash, checks, etc.	Celia Galvan Analyst, Financial 1	Annette Smith Coord, Financial 2
2	Reconciling cash, checks, etc. to receipts.	Rowena Castro Asst Dir, Div Business Ops	Sonia Morales Dir, Business Services
3	Preparing deposits.	Celia Galvan Analyst, Financial 1	Annette Smith Coord, Financial 2
4	Preparing Journal Entries.	Celia Galvan Analyst, Financial 1	Annette Smith Coord, Financial 2
5	Verifying deposits posted correctly in the Finance System.	Sonia Morales Dir, Business Services	Rowena Castro Asst Dir, Div Business Ops
6	Adequacy of physical safeguards of cash receipts and equivalent.	Celia Galvan Analyst, Financial 1	Annette Smith Coord, Financial 2
7	Secure deposits via UHDPS to Student Financial Services.	Celia Galvan Analyst, Financial 1	Annette Smith Coord, Financial 2
8	Ensuring deposits are made timely.	Celia Galvan Analyst, Financial 1	Annette Smith Coord, Financial 2
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Rowena Castro Asst Dir, Div Business Ops	Sonia Morales Dir, Business Services
10	Updating Cash Handling Procedures as needed.	Sonia Morales Dir, Business Services	Celia Galvan Analyst, Financial 1
11	Distribution of Cash Handling Procedures to employees who handle cash.	Sonia Morales Dir, Business Services	Celia Galvan Analyst, Financial 1
12	Consistent and efficient responses to inquiries.	Celia Galvan Analyst, Financial 1	Sonia Morales Dir, Business Services
PETTY CASH			
1	Preparing petty cash disbursements.	NA	NA
2	Ensuring petty cash disbursements are not for more than \$100.	NA	NA
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	NA
4	Approving petty cash disbursements.	NA	NA
5	Replenishing the petty cash fund timely.	NA	NA
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	NA
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Veronica Luna Analyst, Contract Compliance	Sonia Morales Dir, Business Services
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Patrick Grizzaffi Mgr, IT Space/Assets	Bill Spindler Exec Dir Col/Div Business Ops
2	Ensuring the annual inventory was completed correctly.	Patrick Grizzaffi Mgr, IT Space/Assets	Bill Spindler Exec Dir Col/Div Business Ops
3	Tagging equipment.	Patrick Grizzaffi Mgr, IT Space/Assets	Bill Spindler Exec Dir Col/Div Business Ops
4	Approving requests for removal of equipment from campus.	Patrick Grizzaffi Mgr, IT Space/Assets	Bill Spindler Exec Dir Col/Div Business Ops
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Rowena Castro Asst Dir, Div Business Ops	Sonia Morales Dir, Business Services
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Rowena Castro Asst Dir, Div Business Ops	Sonia Morales Dir, Business Services

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		Responsible Person(s) (Name/Title)	
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3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	NA	NA

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ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	NA
2	Billing.	Celia Galvan Analyst, Financial 1	Sonia Morales Dir, Business Services
3	Collection.	Celia Galvan Analyst, Financial 1	Sonia Morales Dir, Business Services
4	Recording.	Celia Galvan Analyst, Financial 1	Sonia Morales Dir, Business Services
5	Monitoring credit extended.	NA	NA
6	Approving write-offs.	Bill Spindler Exec Dir Col/Div Business Ops	Sonia Morales Dir, Business Services
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Sonia Morales Dir, Business Services	Bill Spindler Exec Dir Col/Div Business Ops
2	Ensuring that research expenditures are covered by funds from sponsors.	NA	NA
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	UIT Managers	NA
2	Ensuring that critical data back up occurs.	UIT Staff	NA
3	Ensuring that procedures such as password controls are followed.	UIT Technical Administrators	NA
4	Reporting of suspected security violations.	UIT Staff	NA