

Dean's Office Bauer College - H0041
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.	Francisco Lopez, Program Director 1 (DBM)	Christy Pennington, CBA
2	Updating the Baseline Standards Form.	Francisco Lopez, Program Director 1 (DBM)	Christy Pennington, CBA
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Khanh Nguyen, Program Director 1	N/A
2	Reviewing cost center verifications.	Khanh Nguyen, Program Director 1	Sara Brown, Executive Director, Academic Affairs
3	Approving cost center verifications.	Sara Brown, Executive Director, Academic Affairs	N/A
4	Ensuring all cost centers are verified/approved on a timely basis.	Khanh Nguyen, Program Director 1	Sara Brown, Executive Director, Academic Affairs
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Andrew Nguyen, ABA	Terrolyn Gunter, Program Director 2
2	Ensuring the validity of travel and expense reimbursements.	Terrolyn Gunter, Program Director 2	Andrew Nguyen, ABA
3	Ensuring that goods and services are received and that timely payment is made.	Andrew Nguyen, ABA	Terrolyn Gunter, Program Director 2
4	Ensuring correct account coding on purchases documents.	Andrew Nguyen, ABA	Terrolyn Gunter, Program Director 2
5	Primary contact for inquiries to expenditure transactions.	Terrolyn Gunter, Program Director 2	Andrew Nguyen, ABA
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.	Francisco Lopez, Program Director 1 (DBM) N/A	Jason Richard, Administrative Coord Christy Pennington, CBA
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Francisco Lopez, Program Director 1 (DBM) N/A	Jason Richard, Administrative Coord Christy Pennington, CBA
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Francisco Lopez, Program Director 1 (DBM) N/A	Jason Richard, Administrative Coord Christy Pennington, CBA
4	Completing termination clearance procedures.	Students: Francisco Lopez, Program Director 1 (DBM) Staff: Christy Pennington, CBA	N/A N/A
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Francisco Lopez, Program Director 1 (DBM)	Khanh Nguyen, Program Director 1
6	Maintaining departmental Personnel files.	Francisco Lopez, Program Director 1 (DBM)	Christy Pennington, CBA
7	Ensuring valid authorization of new hires.	Students: Francisco Lopez, Program Director 1 (DBM) Staff: Christy Pennington, CBA	Students: Jason Richard, Administrative Coord Sara Brown, Executive Director, Academic Affairs
8	Ensuring valid authorization of changes in compensation rates.	Christy Pennington, CBA	Sara Brown, Executive Director, Academic Affairs
9	Ensuring the accurate input of changes to the HR System.	Christy Pennington, CBA	Sara Brown, Executive Director, Academic Affairs

Dean's Office Bauer College - H0041
Baseline Standards
FY 2024

		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
10	Consistent and efficient responses to inquiries.	Francisco Lopez, Program Director 1 (DBM)	Christy Pennington, CBA

Dean's Office Bauer College - H0041
Baseline Standards
FY 2024

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
CASH HANDLING			
1	Collecting cash, checks, etc.	Terrolyn Gunter, Program Director 2 N/A	Andrew Nguyen, ABA Julie Krovontka, UHCOBF Administrator
2	Reconciling cash, checks, etc. to receipts.	Terrolyn Gunter, Program Director 2	Andrew Nguyen, ABA
3	Preparing deposits.	Andrew Nguyen, ABA	Terrolyn Gunter, Program Director 2
4	Preparing Journal Entries.	Andrew Nguyen, ABA	Terrolyn Gunter, Program Director 2
5	Verifying deposits posted correctly in the Finance System.	Terrolyn Gunter, Program Director 2	Khanh Nguyen, Program Director 1
6	Adequacy of physical safeguards of cash receipts and equivalent.	Terrolyn Gunter, Program Director 2	Andrew Nguyen, ABA
7	Secure deposits via UHDPS to Student Financial Services.	Andrew Nguyen, ABA	Terrolyn Gunter, Program Director 2
8	Ensuring deposits are made timely.	Terrolyn Gunter, Program Director 2	Andrew Nguyen, ABA
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures	Terrolyn Gunter, Program Director 2	Christy Pennington, CBA
10	Updating Cash Handling Procedures as needed.	Terrolyn Gunter, Program Director 2	N/A
11	Distribution of Cash Handling Procedures to employees who handle cash.	Terrolyn Gunter, Program Director 2	N/A
12	Consistent and efficient responses to inquiries.	Terrolyn Gunter, Program Director 2	Andrew Nguyen, ABA
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.	Francisco Lopez, Program Director 1 (DBM) N/A	Terrolyn Gunter, Program Director 2 Sara Brown, Executive Director, Academic Affairs
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Francisco Lopez, Program Director 1 (DBM)	Anna Wiszowata, Program Coord 2
2	Ensuring the annual inventory was completed correctly.	Francisco Lopez, Program Director 1 (DBM)	Anna Wiszowata, Program Coord 2
3	Tagging equipment.	Francisco Lopez, Program Director 1 (DBM)	Anna Wiszowata, Program Coord 2
4	Approving requests for removal of equipment from campus.	Francisco Lopez, Program Director 1 (DBM)	Anna Wiszowata, Program Coord 2

Dean's Office Bauer College - H0041
Baseline Standards
FY 2024

Description of Responsibility	Responsible Person(s) (Name/Title)	
	Primary (Required)	Secondary (Optional)
	Christy Pennington, CBA	N/A

Dean's Office Bauer College - H0041
Baseline Standards
FY 2024

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Francisco Lopez, Program Director 1 (DBM)	Christy Pennington, CBA
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Francisco Lopez, Program Director 1 (DBM)	Christy Pennington, CBA
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	N/A	N/A
ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	N/A	N/A
3	Collection.	N/A	N/A
4	Recording.	N/A	N/A
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	N/A	N/A
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Khanh Nguyen, Program Director 1	Sara Brown, Executive Director, Academic Affairs
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	N/A
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Hina Khan, Director Bauer Technology	N/A
		Michael Rodriguez, Manager, Coll/Div Information Services 2	N/A
		Jason Oestreicher, Asst Mgr, User Services Support	N/A
2	Ensuring that critical data back up occurs.	Hina Khan, Director Bauer Technology	N/A
		Michael Rodriguez, Manager, Coll/Div Information Services 2	N/A
		Jason Oestreicher, Asst Mgr, User Services Support	N/A
3	Ensuring that procedures such as password controls are followed.	Hina Khan, Director Bauer Technology	N/A
		Michael Rodriguez, Manager, Coll/Div Information Services 2	N/A
		Jason Oestreicher, Asst Mgr, User Services Support	N/A
4	Reporting of suspected security violations.	Hina Khan, Director Bauer Technology	Francisco Lopez, Program Director 1 (DBM)
		Michael Rodriguez, Manager, Coll/Div Information Services 2	Christy Pennington, CBA
		Jason Oestreicher, Asst Mgr, User Services Support	Sara Brown, Executive Director, Academic Affairs