

H0113_H0114_H0115
College of Optometry
Baseline Standards FY 2024

| | | Responsible Person(s) (Name/Title) | |
|--|--|--|--|
| Description of Responsibility | | Primary (Required) | Secondary (Optional) |
| DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS | | | |
| 1 | Ensuring the Departmental Policy and Procedures manual is current. | Elsie Myers, CBA | LaSandra Cotright, Exec. Dir. Bus/Coll Ops. |
| 2 | Updating the Baseline Standards Form. | Elsie Myers, CBA | LaSandra Cotright, Exec. Dir. Bus/Coll Ops. |
| FINANCIAL REPORTING - COST CENTER VERIFICATIONS | | | |
| 1 | Preparing cost center verifications. | Frances Lubin-Rismay, Fin Temp, Colleen LaBorde, Research | Denise Bufkin, Fin Coor 2, Colleen LaBorde, Research Liaison Officer, Elsie Myers, CBA |
| 2 | Reviewing cost center verifications. | Cost Center Managers | Elsie Myers, CBA, LaSandra Cotright, Exec. Dir. Bus/Coll Ops.. |
| 3 | Approving cost center verifications. | Cost Center Managers | Elsie Myers, CBA, LaSandra Cotright, Exec. Dir. Bus/Coll Ops.. |
| 4 | Ensuring all cost centers are verified/approved on a timely basis. | Frances Lubin-Rismay, Fin Temp, Elsie Myers, CBA | LaSandra Cotright, Exec. Dir. Bus/Coll Ops. |
| FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS | | | |
| 1 | Ensuring valid authorization of purchase documents. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coor 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Elsie Myers, CBA, LaSandra Cotright, Exec. Dir. Bus/Coll Ops.. |
| 2 | Ensuring the validity of travel and expense reimbursements. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coor 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Elsie Myers, CBA, LaSandra Cotright, Exec. Dir. Bus/Coll Ops.. |
| 3 | Ensuring that goods and services are received and that timely payment is made. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coor 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Elsie Myers, CBA, LaSandra Cotright, Exec. Dir. Bus/Coll Ops.. |
| 4 | Ensuring correct account coding on purchases documents. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coor 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Elsie Myers, CBA, LaSandra Cotright, Exec. Dir. Bus/Coll Ops.. |
| 5 | Primary contact for inquiries to expenditure transactions. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coor 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Elsie Myers, CBA, LaSandra Cotright, Exec. Dir. Bus/Coll Ops.. |
| 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. | Mallory Travis, DBA | Elsie Myers, CBA |
| 2 | Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll. | Mallory Travis, DBA | Elsie Myers, CBA |
| 3 | Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports. | Mallory Travis, DBA | Elsie Myers, CBA |
| 4 | Completing termination clearance procedures. | Linda Robinson, DBA, Elsie Myers, CBA | LaSandra Cotright, Exec. Dir. Bus/Coll Ops. |
| 5 | Ensuring terminated employees are no longer charged to departmental cost centers. | Mallory Travis, DBA | Elsie Myers, CBA |
| 6 | Maintaining departmental Personnel files. | Mallory Travis, DBA | Elsie Myers, CBA |
| 7 | Ensuring valid authorization of new hires. | Mallory Travis, DBA, Elsie Myers, CBA | LaSandra Cotright, Exec. Dir. Bus/Coll Ops. |
| 8 | Ensuring valid authorization of changes in compensation rates. | Mallory Travis, DBA, Elsie Myers, CBA | LaSandra Cotright, Exec. Dir. Bus/Coll Ops. |
| 9 | Ensuring the accurate input of changes to the HR System. | Mallory Travis, DBA | Elsie Myers, CBA |

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| 10 Consistent and efficient responses to inquiries. | Mallory Travis, DBA | Elsie Myers, CBA |
| CASH HANDLING | | |
| 1 Collecting cash, checks, etc. | College authorized cash handlers | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 |
| 2 Reconciling cash, checks, etc. to receipts. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 |
| 3 Preparing deposits. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 |
| 4 Preparing Journal Entries. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 |
| 5 Verifying deposits posted correctly in the Finance System. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 |
| 6 Adequacy of physical safeguards of cash receipts and equivalent. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 |
| 7 Secure deposits via UHDPS to Student Financial Services. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 |
| 8 Ensuring deposits are made timely. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 |
| 9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training. | Elsie Myers, CBA | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| 10 Updating Cash Handling Procedures as needed. | Linda Robinson, DBA, Elsie Myers, CBA | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| 11 Distribution of Cash Handling Procedures to employees who handle cash. | Linda Robinson, DBA, Elsie Myers, CBA | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| 12 Consistent and efficient responses to inquiries. | Linda Robinson, DBA, Delvina Branch, DBA, Denise Bufkin, Fin Coord 2, Andy Toy, Fin Coord 2, Jade Barrett, Fin Asst 2, Mikayla Nelson, Fin Asst 2 | Elsie Myers, CBA, LaSaundra Cotright, Exec. Dir. Bus/Coll Ops.. |
| 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. | Elsie Myers, CBA | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| PROPERTY MANAGEMENT | | |
| 1 Performing the annual inventory. | Andy Toy, Fin Coord 2 | Tony Cantu, Skilled Trade Tech |

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| 2 Ensuring the annual inventory was completed correctly. | Andy Toy, Fin Coord 2 | Tony Cantu, Skilled Trade Tech |
| 3 Tagging equipment. | Andy Toy, Fin Coord 2 | Tony Cantu, Skilled Trade Tech |
| 4 Approving requests for removal of equipment from campus. | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops., Michael Twa, Dean | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops., Michael Twa, Dean |
| DISCLOSURE FORMS | | |
| 1 Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online. | Laura Frishman, Associate Dean | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| 2 Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online. | Laura Frishman, Associate Dean | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| 3 Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research. | Colleen LaBorde, Research Liaison Officer | Laura Frishman, Associate Dean |
| ACCOUNTS RECEIVABLE | | |
| 1 Extending of credit. | N/A | N/A |
| 2 Billing. | Voncille McGilbert, Fin Coord 1 | Voncille McGilbert, Fin Coord 1 |
| 3 Collection. | Voncille McGilbert, Fin Coord 1 | Voncille McGilbert, Fin Coord 1 |
| 4 Recording. | Voncille McGilbert, Fin Coord 1, Delvina Branch, DBA | Voncille McGilbert, Fin Coord 1, Linda Robinson, DBA |
| 5 Monitoring credit extended. | N/A | N/A |
| 6 Approving write-offs. | Andrew Archilla, Associate Dean | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| NEGATIVE BALANCES | | |
| 1 Ensuring that all fund groups for each Dept ID have positive fund equity at year-end. | Elsie Myers, CBA | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| 2 Ensuring that research expenditures are covered by funds from sponsors. | Colleen LaBorde, Research Liaison Officer | Laura Frishman, Associate Dean, LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| DEPARTMENTAL COMPUTING | | |
| 1 Management of the departments' information technology resources. | Darrin Nguyen, College IT Director, Long Nguyen, Lan Admin | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| 2 Ensuring that critical data back up occurs. | Darrin Nguyen, College IT Director, Long Nguyen, Lan Admin | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| 3 Ensuring that procedures such as password controls are followed. | Darrin Nguyen, College IT Director, Long Nguyen, Lan Admin | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |
| 4 Reporting of suspected security violations. | Darrin Nguyen, College IT Director, Long Nguyen, Lan Admin | LaSaundra Cotright, Exec. Dir. Bus/Coll Ops. |