Controller - H0663 Baseline Standards FY 2021

Description of Responsibility Departmental Policy and Procedures manual is Iman Perez / Departmental Business Administrator Karin Livingston / Controller	Date	6/12/2020	Responsible Person(s) (Name/Title)		
STANDARDS Tassuring the Departmental Policy and Procedures manual is current.			Primary (Required)	Secondary (Optional)	
contract. Controller Cont	STAND	ARDS			
Preparing cost center verifications.	1		Irma Perez / Department Business Administrator	Karin Livingston / Controller	
Preparing cost center verifications.	2	Updating the Baseline Standards Form.	Irma Perez / Department Business Administrator	Karin Livingston / Controller	
Tiffany Taylor-Denson / Department Business Administrator - Payvoll	FINANO	CIAL REPORTING - COST CENTER VERIFICATIONS			
3 Approving cost center verifications. Karin Livingston / Controller 4 Ensuring all cost centers are verified/approved on a timely basis. FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS 1 Ensuring that goods and services are received and that timely purpose is made. 2 Ensuring the validity of travel and expense reimbursements. Irma Perez / Department Business Administrator 3 Ensuring that goods and services are received and that timely purpose is made. 4 Ensuring correct account coding on purchases documents. Irma Perez / Department Business Administrator 5 Primary contact for inquiries to expenditure transactions. Irma Perez / Department Business Administrator 6 PAYROLL / HUMAN RESOURCES 1 Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payvoll, so that the correct hours are recorded and paid on each bi-weekly puppheck. 2 Ensuring all bi-weekly reported time and leave are approved before the deadlines set by Payvoll. 3 Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports. 4 Completing permitation clearance procedures. Irma Perez / Department Business Administrator 5 Ensuring all proposed personal distributions of the deadlines set by Payvoll. 5 Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports. 4 Completing terminated employees are no longer charged to department demployees are no longer charged to department of the payroll o	1	Preparing cost center verifications.		Linda Garza / Executive Director Business Services	
4 Ensuring all cost centers are verified/approved on a timely basis. FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS Itma Perez / Department Business Administrator Image: Perez / Department Business Administrator Sarin Livingston / Controller	2	Reviewing cost center verifications.	Karin Livingston / Controller	Linda Garza / Executive Director Business Services	
Passis Pinancial Reporting - Expenditure transactions Irma Perez / Department Business Administrator Karin Livingston / Controller	3	Approving cost center verifications.	Karin Livingston / Controller	Linda Garza / Executive Director Business Services	
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10 Consistent and efficient responses to inquiries. Irma Perez / Department Business Administrator Karin Livingston / Controller	9	Ensuring the accurate input of changes to the HR System.	Irma Perez / Department Business Administrator	Karin Livingston / Controller	
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Date	6/12/2020	Responsible Person(s) (Nam	e/Title)
Descrip	tion of Responsibility	Primary (Required)	Secondary (Optional)
	IANDLING		
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1	Collecting cash, checks, etc.	Diana Iraheta / AP Analyst	Ed Smith / Accountant 1
2	Reconciling cash, checks, etc. to receipts.	Cassandra Lopez / AP Manager	Samantha Yurus / Assistant Controller
3	Preparing deposits.	Diana Iraheta / AP Analyst	Ed Smith / Accountant 1
4	Preparing Journal Entries.	Diana Iraheta / AP Analyst	Ed Smith / Accountant 1
5	Verifying deposits posted correctly in the Finance System.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
6	Adequacy of physical safeguards of cash receipts and equivalent.	Diana Iraheta / AP Analyst	Ed Smith / Accountant 1
7	Secure deposits via UHDPS to Student Financial Services.	N/A (Use remote deposit)	
8	Ensuring deposits are made timely.	Cassandra Lopez / AP Manager	Ed Smith / Accountant 1
	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Samantha Yurus / Assistant Controller	Karin Livingston / Controller
10	Updating Cash Handling Procedures as needed.	Irma Perez / Department Business Administrator	Karin Livingston / Controller
11	Distribution of Cash Handling Procedures to employees who handle cash.	Samantha Yurus / Assistant Controller	Irma Perez /Department Business Administrator
12	Consistent and efficient responses to inquiries.	Diana Iraheta / AP Analyst	Cassandra Lopez / AP Manager
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
	Ensuring the petty cash fund is balanced after each disbursement.	N/A	N/A
CONTR	ACT ADMINISTRATION		
	Ensuring departmental personnel comply with contract administration policies/procedures.	Karin Livingston / Controller	Samantha Yurus / Assistant Controller
PROPE	RTY MANAGEMENT		
1	Performing the annual inventory.	Tony Cho / Systems Manager	Karin Livingston / Controller
2	Ensuring the annual inventory was completed correctly.	Karin Livingston / Controller	Samantha Yurus / Assistant Controller
3	Tagging equipment.	Tony Cho / Systems Manager	Irma Perez /Department Business Administrator
4	Approving requests for removal of equipment from campus.	Karin Livingston / Controller	Samantha Yurus / Assistant Controller
DISCLO	SURE FORMS		
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Karin Livingston / Controller	Linda Garza / Executive Director Business Services
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Karin Livingston / Controller	Linda Garza / Executive Director Business Services
	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

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Controller - H0663 Baseline Standards FY 2021

Date	6/12/2020	Responsible Person(s) (Name/Title)	
Description of Responsibility		Primary (Required)	Secondary (Optional)
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			
	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Karin Livingston / Controller	Linda Garza / Executive Director Business Services
	Ensuring that research expenditures are covered by funds from sponsors.	N/A	N/A
DEPAR	TMENTAL COMPUTING		
	Management of the departments' information technology resources.	Henry Pham / Microsystems Analyst	Andrew Hoang / Director Financial Computing Systems
2	Ensuring that critical data back up occurs.	Henry Pham / Microsystems Analyst	Andrew Hoang / Director Financial Computing Systems
	Ensuring that procedures such as password controls are followed.	Henry Pham / Microsystems Analyst	Andrew Hoang / Director Financial Computing Systems
4	Reporting of suspected security violations.	All Staff	

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