

College of Optometry
H0113, H0114, H0115
Baseline Standards
FY2021

		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.	Sandra Bazan, DBA	Jose Martinez, CBA
2	Updating the Baseline Standards Form.	Sandra Bazan, DBA	Jose Martinez, CBA
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Nancy Sanger, Fin Coor 2, Colleen LaBorde, Research	Barbara Valles, Fin Coor 1, Nancy Sanger, Fin Coor 2, Colleen LaBorde,
2	Reviewing cost center verifications.	Cost Center Managers	Jose Martinez, CBA, Zagui Paredes, Exec Director
3	Approving cost center verifications.	Cost Center Managers	Jose Martinez, CBA, Zagui Paredes, Exec Director
4	Ensuring all cost centers are verified/approved on a timely basis.	Jose Martinez, CBA, Sandra Bazan, DBA	Zagui Paredes, Exec Director
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coor 1, Nancy Sanger, Fin Coor 2, Renee Armacost, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2, Andy Toy, Fin Coor 1, Denise Bufkin, Fin Asst 2	Jose Martinez, CBA, Zagui Paredes, Exec Director
2	Ensuring the validity of travel and expense reimbursements.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coor 1, Nancy Sanger, Fin Coor 2, Renee Armacost, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2, Andy Toy, Fin Coor 1, Denise Bufkin, Fin Asst 2	Jose Martinez, CBA, Zagui Paredes, Exec Director
3	Ensuring that goods and services are received and that timely payment is made.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coor 1, Nancy Sanger, Fin Coor 2, Renee Armacost, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2, Andy Toy, Fin Coor 1, Denise Bufkin, Fin Asst 2	Jose Martinez, CBA, Zagui Paredes, Exec Director
4	Ensuring correct account coding on purchases documents.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coor 1, Nancy Sanger, Fin Coor 2, Renee Armacost, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2, Andy Toy, Fin Coor 1, Denise Bufkin, Fin Asst 2	Jose Martinez, CBA, Zagui Paredes, Exec Director
5	Primary contact for inquiries to expenditure transactions.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coor 1, Nancy Sanger, Fin Coor 2, Renee Armacost, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2, Andy Toy, Fin Coor 1, Denise Bufkin, Fin Asst 2	Jose Martinez, CBA, Zagui Paredes, Exec Director
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.	Sawsan Shatleh, Dept HR/Payroll coord	Jose Martinez, CBA
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Sawsan Shatleh, Dept HR/Payroll coord	Jose Martinez, CBA
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Sawsan Shatleh, Dept HR/Payroll coord	Jose Martinez, CBA
4	Completing termination clearance procedures.	Jose Martinez, CBA, Sandra Bazan, DBA	Zagui Paredes, Exec Director
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Sawsan Shatleh, Dept HR/Payroll coord	Jose Martinez, CBA
6	Maintaining departmental Personnel files.	Sawsan Shatleh, Dept HR/Payroll coord	Jose Martinez, CBA
7	Ensuring valid authorization of new hires.	Jose Martinez, CBA, Sandra Bazan, DBA	Zagui Paredes, Exec Director
8	Ensuring valid authorization of changes in compensation rates.	Jose Martinez, CBA, Sandra Bazan, DBA	Zagui Paredes, Exec Director

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9	Ensuring the accurate input of changes to the HR System.	Sawsan Shatleh, Dept HR/Payroll coord	Jose Martinez, CBA
10	Consistent and efficient responses to inquiries.	Sawsan Shatleh, Dept HR/Payroll coord	Jose Martinez, CBA

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CASH HANDLING			
1	Collecting cash, checks, etc.	College authorized cash handlers	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Barbara Valles, Fin Coord 1, Sandra Bazan, DBA
2	Reconciling cash, checks, etc. to receipts.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2
3	Preparing deposits.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2
4	Preparing Journal Entries.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2
5	Verifying deposits posted correctly in the Finance System.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2
6	Adequacy of physical safeguards of cash receipts and equivalent.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2
7	Secure deposits via UHDPS to Student Financial Services.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2
8	Ensuring deposits are made timely.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Jose Martinez, CBA, Sandra Bazan, DBA	Zagui Paredes, Exec Director
10	Updating Cash Handling Procedures as needed.	Jose Martinez, CBA, Sandra Bazan, DBA	Zagui Paredes, Exec Director
11	Distribution of Cash Handling Procedures to employees who handle cash.	Jose Martinez, CBA, Sandra Bazan, DBA	Zagui Paredes, Exec Director
12	Consistent and efficient responses to inquiries.	Maria Banda, Fin Coord 1, Maria Carreon, Fin Coord 1, Nancy Sanger, Fin Coord 2, Sandra Bazan, DBA, Kaysie Slayton, Fin Asst 2	Jose Martinez, CBA, Zagui Paredes, Exec Director
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.	Maria Carreon, Fin Coord 1, Sandra Bazan, DBA	Zagui Paredes, Exec Director
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Andy Toy, Fin Coord 1	Tony Cantu, Skilled Trade Tech
2	Ensuring the annual inventory was completed correctly.	Andy Toy, Fin Coord 1	Tony Cantu, Skilled Trade Tech
3	Tagging equipment.	Andy Toy, Fin Coord 1	Tony Cantu, Skilled Trade Tech
4	Approving requests for removal of equipment from campus.	Zagui Paredes, Exec Director, Michael Twa, Dean	Zagui Paredes, Exec Director, Michael Twa, Dean
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Laura Frishman, Associate Dean	Zagui Paredes, Exec Director
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Laura Frishman, Associate Dean	Zagui Paredes, Exec Director

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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.	Colleen LaBorde, Research Liaison Officer	Laura Frishman, Associate Dean

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ACCOUNTS RECEIVABLE			
1	Extending of credit.	N/A	N/A
2	Billing.	Voncille McGilbert, Fin Coor 1	Voncille McGilbert, Fin Coor 1
3	Collection.	Voncille McGilbert, Fin Coor 1	Voncille McGilbert, Fin Coor 1
4	Recording.	Voncille McGilbert, Fin Coor 1, Nancy Sanger, Fin Coor 2	Voncille McGilbert, Fin Coor 1, Nancy Sanger, Fin Coor 2, Sandra Bazan, DBA
5	Monitoring credit extended.	N/A	N/A
6	Approving write-offs.	Marcus Piccolo, Associate Dean	Zagui Paredes, Exec Director
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Jose Martinez, CBA, Sandra Bazan, DBA	Zagui Paredes, Exec Director
2	Ensuring that research expenditures are covered by funds from sponsors.	Colleen LaBorde, Research Liaison Officer	Laura Frishman, Associate Dean, Zagui Paredes, Exec Director
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Darrin Nguyen, College IT Director, Long Nguyen, Lan	Zagui Paredes, Exec Director
2	Ensuring that critical data back up occurs.	Darrin Nguyen, College IT Director, Long Nguyen, Lan	Zagui Paredes, Exec Director
3	Ensuring that procedures such as password controls are followed.	Darrin Nguyen, College IT Director, Long Nguyen, Lan	Zagui Paredes, Exec Director
4	Reporting of suspected security violations.	Darrin Nguyen, College IT Director, Long Nguyen, Lan	Zagui Paredes, Exec Director