

Office of the President  
Baseline Standards  
FY 2022

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
<b>DEPARTMENTAL POLICIES &amp; PROCEDURES / BASELINE STANDARDS</b>			
1	Ensuring the Departmental Policy and Procedures manual is current.	Brian Drake, Dir. Advancement Services & Bus Ops	
2	Updating the Baseline Standards Form.	Kai Chen, Dept Business Admin II	
<b>FINANCIAL REPORTING - COST CENTER VERIFICATIONS</b>			
1	Preparing cost center verifications.	Kai Chen, Dept Business Admin II	
2	Reviewing cost center verifications.	Kai Chen, Dept Business Admin II	
3	Approving cost center verifications.	Brian Drake, Dir. Advancement Services & Bus Ops	
4	Ensuring all cost centers are verified/approved on a timely basis. no later than 60 days after the accounting period is closed.	Brian Drake, Dir. Advancement Services & Bus Ops	
5	Identifies non-active non-project/grant cost centers and notify the appropriate department to deactivate the cost center.	Brian Drake, Dir. Advancement Services & Bus Ops	
<b>FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS</b>			
1	Ensuring valid authorization of purchase documents.	Kai Chen, Dept Business Admin II	
2	Ensuring the validity of travel and expense reimbursements.	Kai Chen, Dept Business Admin II	
3	Ensuring that goods and services are received and that timely payment is made.	Kai Chen, Dept Business Admin II	
4	Ensuring correct account coding on purchases documents.	Kai Chen, Dept Business Admin II	
5	Primary contact for inquiries to expenditure transactions.	Kai Chen, Dept Business Admin II	
<b>PAYROLL / HUMAN RESOURCES</b>			
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.	Vanessa Pigeon, Exec Associate to the President	Kai Chen, Dept Business Admin II
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Kai Chen, Dept Business Admin II	
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Kai Chen, Dept Business Admin II	
4	Completing termination clearance procedures.	Kai Chen, Dept Business Admin II	
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Kai Chen, Dept Business Admin II	
6	Maintaining departmental Personnel files.	Kai Chen, Dept Business Admin II	
7	Ensuring valid authorization of new hires.	Kai Chen, Dept Business Admin II	
8	Ensuring valid authorization of changes in compensation rates.	Kai Chen, Dept Business Admin II	
9	Ensuring the accurate input of changes to the HR System.	Kai Chen, Dept Business Admin II	
10	Consistent and efficient responses to inquiries.	Kai Chen, Dept Business Admin II	

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<b>CASH HANDLING</b>		
1 Collecting cash, checks, etc.	Maria Perez, Admin Asst I	Kai Chen, Dept Business Admin II
2 Prepares Departmental Deposit Form.	Maria Perez, Admin Asst I	Kai Chen, Dept Business Admin II
3 Approves Departmental Deposit Form.	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
4 Transports deposit to the Cashiers Office.	Maria Perez, Admin Asst I	Kai Chen, Dept Business Admin II
5 Preparing Journal Entries.	N/A	
6 Verifying deposits posted correctly in the Finance System.	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
7 Adequacy of physical safeguards of cash receipts and equivalent.	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
8 Ensuring deposits are made timely.	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
10 Updating Cash Handling Procedures as needed.	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
11 Consistent and efficient responses to inquiries.	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
<b>PETTY CASH</b>		
1 Preparing petty cash disbursements.	N/A	
2 Ensuring petty cash disbursements are not for more than \$100.	N/A	
3 Ensuring petty cash disbursements are made for only authorized purposes.	N/A	
4 Approving petty cash disbursements.	N/A	
5 Replenishing the petty cash fund timely.	N/A	
6 Ensuring the petty cash fund is balanced after each disbursement.	N/A	
<b>CONTRACT ADMINISTRATION</b>		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Brian Drake, Dir. Advancement Services & Bus Ops	
<b>PROPERTY MANAGEMENT</b>		
1 Performing the annual inventory.	Kai Chen, Dept Business Admin II	Maria Perez, Admin Asst I
2 Ensuring the annual inventory was completed correctly.	Kai Chen, Dept Business Admin II	Maria Perez, Admin Asst I
3 Tagging equipment.	Kai Chen, Dept Business Admin II	Maria Perez, Admin Asst I
4 Approving requests for removal of equipment from campus.	Kai Chen, Dept Business Admin II	Maria Perez, Admin Asst I
<b>DISCLOSURE FORMS</b>		
1 Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
2 Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
3 Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Office of Research and Sponsored Programs	Brian Drake, Dir. Advancement Services & Bus Ops	Kai Chen, Dept Business Admin II
<b>RESEARCH ADMINISTRATION</b>		
1 Verifies that all grant cost centers contain positive budgetary balances.	N/A	
2 Ensuring that research expenditures are covered by funds from sponsors.	N/A	

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3	Notifies the appropriate department to deactivate expired grant cost centers.	N/A	
4	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	N/A	
5	Verifies that effort reporting is accurately calculated (verifies actual time) and timely reported (quarterly).	N/A	
6	Verifies that a Conflict of Interest Form is completed annually for all applicable employees; and submitted timely to the Division of Research.	N/A	
<b>SCHOLARSHIPS</b>			
1	Prepares written department scholarship procedures (awarding, criteria, eligibility guidelines, etc...).	N/A	
2	Verifies that all available department scholarships are publicized (web site, in department, etc...).	N/A	
3	Verifies that the scholarship award recipient was eligible for the award and met all required criteria ( <i>GPA, major, requisite hours, letters of recommendation, etc...</i> ).	N/A	
4	Verifies that the scholarship award recipient was eligible for the award and met all required criteria ( <i>GPA, major, requisite hours, letters of recommendation, etc...</i> ).	N/A	
5	Reviews scholarship cost centers annually to help ensure that available scholarship funds are being awarded; and to identify excessive equity balances in scholarship cost centers.	N/A	
<b>NEGATIVE BALANCES</b>			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Brian Drake, Dir. Advancement Services & Bus Ops	
2	Ensuring that research expenditures are covered by funds from sponsors.	N/A	
<b>DEPARTMENTAL COMPUTING</b>			
1	Management of the departments' information technology resources.	Information Technology	
2	Ensuring that critical data back up occurs.	Information Technology	
3	Ensuring that procedures such as password controls are followed.	All Staff	
4	Reporting of suspected security violations.	All Staff	