DEAN’S FINANCIAL REFERENCE GUIDE

The dean is ultimately responsible and accountable for all financial resources within the college and should work closely with their controller in monitoring their effective and efficient use. The controller’s primary responsibility is to provide financial oversight including establishing budgets, analyzing financial results, monitoring internal controls, managing systems, and assisting in the hiring and training of financial support personnel.

Your controller can assist you in your management role as you meet regularly to discuss key financial matters of your college and can help move initiatives forward under your direction. Your controller reports directly to you and has dotted-line responsibilities to Financial Services. They also work closely with Purchasing and Travel, Human Resources, and Physical Facilities and will interface with several other areas of campus.

The dean and controller also work closely with others within the college (i.e., department chairs, directors, and financial assistants) who have financial, departmental, or divisional responsibilities. They provide assistance and training to these individuals so they can better support their functional areas.

The topics below are provided as a quick reference to areas that might be of most assistance to you as dean. Your controller, in most cases, works regularly in these areas and could discuss them in more depth if you desire and more specifically as they relate to your college. Links are provided to University websites and functional areas to provide more detail:

**Finances/Budgeting**

- **General**
  - Types of Funds (click [here](#))
  - Monthly and interim financial reports (click [here](#))
  - Strategic Resource Planning (click [here](#))
  - Fall salary worksheet
  - Grants and Contracts (click [here](#))
  - Controller responsibilities (click [here](#))
  - University’s financial organizational structure (click [here](#))

- **Policies/Compliance**
  - Y-Expense (click [here](#))
  - Travel (click [here](#))
    - Airfare (click [here](#))
    - Per diem (click [here](#))
    - Accountable Plan (click [here](#) and [here](#))
    - Student travel (click [here](#) and [here](#))
  - Monthly Compliance Report
  - Y-Matrix and approvals process
• Meals and hosting (click here)
• Gift cards (click here)
• Fund 20 faculty research (click here)
• Proper payment tools (click here)
• Fundraising guidelines (click here)
• Waste, abuse, and fraud (click here)
• LDSP (LDS Philanthropies) (click here)
  • Donor liaison relationship
  • Current fundraising initiatives (click here)
  • Donor gifts (click here)
  • Current endowments – payouts and purposes (click here)
  • Proposed endowments (click here)

**Facilities/Space** (click here)
• College facilities
• Current and future projects (click here)
• Physical Facilities contacts/reps
• CNA (Capital Needs Analysis) projects (click here)
• Risk Management - safety, insurance (click here)

**Human Resources (HR)**
• Faculty, administrative, and staff employees
  • Hiring process (click here and here)
  • FTE (Full Time Equivalent) allocation process
  • Salary and wage increases
  • Benefits Rates (click here)
  • Adjunct faculty hiring process (click here)
  • ½ time and ¾ time non-student employees (click here)
  • Annual performance reviews
    • Faculty Stewardship Reports (click here)
    • Admin and staff PDP (Performance Development Plan) process (click here)
  • Evaluation of employee responsibilities and job descriptions
• Area HR consultant (click here)
• ACA (Affordable Care Act) provisions (click here)
• Independent contractor (click here)

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