

Department of Biology and Biochemistry
Baseline Standards
FY 2014

Description of Responsibility		Responsible Person(s) (Name/Title)	
		Primary (Required)	Secondary (Optional)
DEPARTMENTAL POLICIES & PROCEDURES / BASELINE STANDARDS			
1	Ensuring the Departmental Policy and Procedures manual is current.	Lilia Canas, DBA	
2	Updating the Baseline Standards Form.	Lilia Canas, DBA	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Chau Phan, Financial Analyst	
2	Reviewing cost center verifications.	Cost Center Managers	Lilia Canas, DBA
3	Approving cost center verifications.	Cost Center Managers	Lilia Canas, DBA
4	Ensuring all cost centers are verified/approved on a timely basis.	Lilia Canas, DBA	Chau Phan, Financial Analyst
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Yonia Pulido, Financial Coordinator	Quang Hau, Financial Coordinator
2	Ensuring the validity of travel and expense reimbursements.	Yonia Pulido, Financial Coordinator	Quang Hau, Financial Coordinator
3	Ensuring that goods and services are received and that timely payment is made.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
4	Ensuring correct account coding on purchases documents.	Chau Phan, Financial Analyst	Lilia Canas, DBA
5	Primary contact for inquiries to expenditure transactions.	Chau Phan, Financial Analyst	Lilia Canas, DBA
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
2	Reconciling bi-weekly leave accruals to the HR System.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
4	Ensuring all monthly leave is recorded and approved in the HR System.	Chau Phan, Financial Analyst	Lilia Canas, DBA
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
6	Completing termination clearance procedures.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
8	Paycheck distribution.	N/A	N/A
9	Maintaining departmental Personnel files.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
10	Ensuring valid authorization of new hires.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
11	Ensuring valid authorization of changes in compensation rates.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
12	Ensuring the accurate input of changes to the HR System.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
13	Propriety of leave account classification on time records.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
14	Consistent and efficient responses to inquiries.	Mallory Travis, Administrative Coordinator	Lilia Canas, DBA
CASH HANDLING			

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1 Collecting cash, checks, etc.	Yonia Pulido, Financial Coordinator	Quang Hau, Financial Coordinator
2 Reconciling cash, checks, etc. to receipts.	Yonia Pulido, Financial Coordinator	Quang Hau, Financial Coordinator
3 Preparing deposits.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
4 Preparing Journal Entries.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
5 Verifying deposits posted correctly in the Finance System.	Chau Phan, Financial Analyst	
6 Adequacy of physical safeguards.	Yonia Pulido, Financial Coordinator	Quang Hau, Financial Coordinator
7 Transporting deposits to Student Financial Services.	Police (UHPD)	
8 Ensuring deposits are made timely.	Lilia Canas, DBA	
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Lilia Canas, DBA	
10 Updating Cash Handling Procedures as needed.	Lilia Canas, DBA	
11 Distribution of Cash Handling Procedures to employees who handle cash.	Lilia Canas, DBA	
12 Consistent and efficient responses to inquiries.	Quang Hau, Financial Coordinator	Yonia Pulido, Financial Coordinator
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
LONG DISTANCE CHARGES		
1 Manager review of long distance charges for unusual activity.	N/A	N/A
2 Ensuring personal calls are reimbursed within 10 days from the billing date.	N/A	N/A
CONTRACT ADMINISTRATION		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Chau Phan, Financial Analyst	Lilia Canas, DBA
PROPERTY MANAGEMENT		
1 Performing the annual inventory.	George Benham, Building Maintenance Spvr.	
2 Ensuring the annual inventory was completed correctly.	George Benham, Building Maintenance Spvr.	
3 Tagging equipment.	George Benham, Building Maintenance Spvr.	
4 Approving requests for removal of equipment from campus.	George Benham, Building Maintenance Spvr.	
DISCLOSURE FORMS		

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Lilia Canas, DBA	Chau Phan, Financial Analyst
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Lilia Canas, DBA	Chau Phan, Financial Analyst
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Lilia Canas, DBA	Chau Phan, Financial Analyst
ACCOUNTS RECEIVABLE (Internal Only for Research Stores)			
1	Extending of credit.	Walter Tibbs, Financial Assistant	Edward Glumac, Research Stores Manager
2	Billing.	Walter Tibbs, Financial Assistant	Edward Glumac, Research Stores Manager
3	Collection.	Walter Tibbs, Financial Assistant	Edward Glumac, Research Stores Manager
4	Recording.	Walter Tibbs, Financial Assistant	Edward Glumac, Research Stores Manager
5	Monitoring credit extended.	Walter Tibbs, Financial Assistant	Edward Glumac, Research Stores Manager
6	Approving write-offs.	N/A	N/A
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Lilia Canas, DBA	Chau Phan, Financial Analyst
2	Ensuring that research expenditures are covered by funds from sponsors.	Lilia Canas, DBA	Chau Phan, Financial Analyst
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Hoang Hoang, Systems Administrator	
2	Ensuring that critical data back up occurs.	Hoang Hoang, Systems Administrator	
3	Ensuring that procedures such as password controls are followed.	Hoang Hoang, Systems Administrator	
4	Reporting of suspected security violations.	Hoang Hoang, Systems Administrator	