

CHEMICAL AND BIOMOLECULAR ENGINEERING
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.	Patricia A. Cooks, DBA	My-Dung Lieu, Asst. DBA
2	Updating the Baseline Standards Form.	Patricia A. Cooks, DBA	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Academic Support Assistants; My-Dung Lieu , Asst. DBA	Patricia A. Cooks, DBA
2	Reviewing cost center verifications.	Patricia A. Cooks, DBA	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2
3	Approving cost center verifications.	M. Harold, Chair; Principal Investigators & Directors	Patricia A. Cooks, DBA
4	Ensuring all cost centers are verified/approved on a timely basis.	Patricia A. Cooks, DBA	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Patricia A. Cooks, DBA	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2
2	Ensuring the validity of travel and expense reimbursements.	Patricia A. Cooks, DBA	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2
3	Ensuring that goods and services are received and that timely payment is made.	Patricia A. Cooks, DBA	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2
4	Ensuring correct account coding on purchases documents.	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2	Patricia A. Cooks, DBA/Program Manager
5	Primary contact for inquiries to expenditure transactions.	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2	Patricia A. Cooks, DBA/Program Manager
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
2	Reconciling bi-weekly leave accruals to the HR System.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
4	Ensuring all monthly leave is recorded and approved in the HR System.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
6	Completing termination clearance procedures.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
7	Ensuring terminated employees are no longer charged to departmental cost centers.	Patricia A. Cooks, DBA	Pamela Moses, Financial Asst 2
8	Paycheck distribution.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
9	Maintaining departmental Personnel files.	Patricia A. Cooks, DBA	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2
10	Ensuring valid authorization of new hires.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
11	Ensuring valid authorization of changes in compensation rates.	Patricia A. Cooks, DBA	Pamela Moses, Financial Asst 2
12	Ensuring the accurate input of changes to the HR System.	Patricia A. Cooks, DBA	Pamela Moses, Financial Asst 2
13	Propriety of leave account classification on time records.	Patricia A. Cooks, DBA	Pamela Moses, Financial Asst 2
14	Consistent and efficient responses to inquiries.	Patricia A. Cooks, DBA	Pamela Moses, Financial Asst 2
CASH HANDLING			

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1	Collecting cash, checks, etc.	Yolanda Thomas & Anne Sturm -Academic Advisors; Patricia A. Cooks, DBA, & Faculty	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2
2	Reconciling cash, checks, etc. to receipts.	Patricia A. Cooks, DBA	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2
3	Preparing deposits.	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2Anne	Patricia A. Cooks, DBA/Program Manager
4	Preparing Journal Entries.	My-Dung Lieu-Asst. DBA; Swati Birla -Program Manager	Patricia A. Cooks, DBA
5	Verifying deposits posted correctly in the Finance System.	My-Dung Lieu-Asst. DBA; Swati Birla -Program Manager	Patricia A. Cooks, DBA
6	Adequacy of physical safeguards.	Patricia A. Cooks, DBA	Steve Bangerter, Dir. Col. Bus Operations
7	Transporting deposits to Student Financial Services.	UH DPS	
8	Ensuring deposits are made timely.	Patricia A. Cooks, DBA	Steve Bangerter, Dir. Col. Bus Operations
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Steve Bangerter, Dir. Col. Bus Operations	Patricia A. Cooks, DBA
10	Updating Cash Handling Procedures as needed.	Steve Bangerter, Dir. Col. Bus Operations	Patricia A. Cooks, DBA
11	Distribution of Cash Handling Procedures to employees who handle cash.	Patricia A. Cooks, DBA	Steve Bangerter, Dir. Col. Bus Operations
12	Consistent and efficient responses to inquiries.	Patricia A. Cooks, DBA	Steve Bangerter, Dir. Col. Bus Operations
PETTY CASH			
1	Preparing petty cash disbursements.	NA	
2	Ensuring petty cash disbursements are not for more than \$100.	NA	
3	Ensuring petty cash disbursements are made for only authorized purposes.	NA	
4	Approving petty cash disbursements.	NA	
5	Replenishing the petty cash fund timely.	NA	
6	Ensuring the petty cash fund is balanced after each disbursement.	NA	
LONG DISTANCE CHARGES			
1	Manager review of long distance charges for unusual activity.	Patricia A. Cooks, DBA	My-Dung Lieu , Asst. DBA; Swati Birla, Program Manager 2
2	Ensuring personal calls are reimbursed within 10 days from the billing date.	NA	
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Steve Bangerter, Dir. Col. Bus Operations	Patricia A Cooks, DBA
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	David Dawlearn, Lab Maintenance Spvr	
2	Ensuring the annual inventory was completed correctly.	Michael P. Harold , Chair	Steve Bangerter, Dir. Col. Bus Operations
3	Tagging equipment.	David Dawlearn, Lab Maintenance Spvr	Patricia A. Cooks, DBA
4	Approving requests for removal of equipment from campus.	Michael P. Harold , Chair	
DISCLOSURE FORMS			

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Michael P. Harold , Chair	Nicolette Solano, Administrative Asst
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Michael P. Harold , Chair	Nicolette Solano, Administrative Asst
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Michael P. Harold , Chair	Nicolette Solano, Administrative Asst
ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	
2	Billing.	NA	
3	Collection.	NA	
4	Recording.	NA	
5	Monitoring credit extended.	NA	
6	Approving write-offs.	NA	
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Patricia A. Cooks, DBA	Steve Bangerter, Dir. Col. Bus Operations
2	Ensuring that research expenditures are covered by funds from sponsors.	Principal Investigators and Directors	Patricia A. Cooks, DBA
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Michael P. Harold , Chair	Patricia A. Cooks, DBA
2	Ensuring that critical data back up occurs.	ENG, College Information Systems	Patricia A. Cooks, DBA
3	Ensuring that procedures such as password controls are followed.	ENG, College Information Systems	
4	Reporting of suspected security violations.	ENG, College Information Systems	