

Chemical and Biomolecular Engineering
Baseline Standards
FY 2015

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.	My-Dung Lieu, Asst. DBA; Swati Birla, Program Manager 2	Patricia A. Cooks, DBA
2	Ensuring the validity of travel and expense reimbursements.	My-Dung Lieu, Asst. DBA; Swati Birla, Program Manager 2	Patricia A. Cooks, DBA
3	Ensuring that goods and services are received and that timely payment is made.	My-Dung Lieu, Asst. DBA; Swati Birla, Program Manager 2	Patricia A. Cooks, DBA
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	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.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
2	Ensuring all monthly leave is recorded accurately and approved before the deadlines set by Payroll.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
3	Ensuring all TRAM high level exceptions are corrected in a timely manner prior to Payroll deadlines.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
4	Ensuring all Time Reporters (new employees and transfers) are assigned to Time Approvers in TRAM.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
5	Reconciling approved reported time and leave (bi-weekly & monthly employees) and ePARs (biweekly & monthly employees) to the trial and final payroll verification reports and off-cycle payrolls	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
6	Completing termination ePAR's within 24 hours of termination and completing the termination clearance form.	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	Maintaining departmental personnel files.	Patricia A. Cooks, DBA	My-Dung Lieu, Asst. DBA; Swati Birla, Program Manager 2
9	Consistent and efficient responses to inquiries.	Pamela Moses, Financial Asst 2	Patricia A. Cooks, DBA
10	Hire ePAR's should be processed at least 1 week prior to start date.	Patricia A. Cooks, DBA	Pamela Moses, Financial Asst 2
11	Ensure all security access requests and training courses are completed 48 hours prior to necessary access changes.	Pamela Moses, Financial Asst 2	Nicolette Solano, Administrative Asst

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CASH HANDLING			
1	Collecting cash, checks, etc.	Yolanda Thomas & Anne Sturm -Academic Advisors; Patricia A. Cooks, DBA, &	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	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.	Patricia A. Cooks, DBA	My-Dung Lieu-Asst. DBA; Swati Birla -Program Manager
6	Adequacy of physical safeguards of cash receipts and equivalent.	Patricia A. Cooks, DBA	Steve Bangerter, Dir. Col. Bus Operations
7	Secure deposits via UHDPS 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	
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	Michael P. Harold , Chair
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	David Dawlearn, Lab Maintenance Spvr
DISCLOSURE FORMS			
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

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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	