

Institute for NanoEnergy
Baseline Standards
FY 2013

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.	Nichole Mendoza	Rhonda Stafford
2	Updating the Baseline Standards Form.	Nichole Mendoza	Rhonda Stafford
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	(Accountant 2)	Rhonda Stafford
2	Reviewing cost center verifications.	(Accountant 2)	Rhonda Stafford
3	Approving cost center verifications.	(Accountant 2)	Rhonda Stafford
4	Ensuring all cost centers are verified/approved on a timely basis.	(Accountant 2)	Rhonda Stafford
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Viveca Montgomery (Fin. Coord)	Nichole Mendoza
2	Ensuring the validity of travel and expense reimbursements.	Viveca Montgomery (Fin. Coord)	Nichole Mendoza
3	Ensuring that goods and services are received and that timely payment is made.	Viveca Montgomery (Fin. Coord)	Nichole Mendoza
4	Ensuring correct account coding on purchases documents.	Viveca Montgomery (Fin. Coord)	(Accountant 2) Nichole Mendoza
5	Primary contact for inquiries to expenditure transactions.	Viveca Montgomery (Fin. Coord)	(Accountant 2) Nichole Mendoza
PAYROLL / HUMAN RESOURCES			
1	Reconciling approved bi-weekly leave requests to time and effort reports.	Nichole Mendoza	Rhonda Stafford
2	Reconciling bi-weekly leave accruals to the HR System.	Nichole Mendoza	Rhonda Stafford
3	Ensuring all bi-weekly time and effort reports are submitted to Payroll.	Nichole Mendoza	Rhonda Stafford
4	Ensuring all monthly leave is recorded and approved in the HR System.	Nichole Mendoza	Rhonda Stafford
5	Reconciling time and effort reports (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Nichole Mendoza	Rhonda Stafford
6	Completing termination clearance procedures.	Nichole Mendoza	Rhonda Stafford
7	Ensuring terminated employees are no longer charged to departmental cost centers.	(Accountant 2)	Nichole Mendoza
8	Paycheck distribution.	Nichole Mendoza	Rhonda Stafford
9	Maintaining departmental Personnel files.	Nichole Mendoza	Rhonda Stafford
10	Ensuring valid authorization of new hires.	Nichole Mendoza	Rhonda Stafford
11	Ensuring valid authorization of changes in compensation rates.	Nichole Mendoza	Rhonda Stafford
12	Ensuring the accurate input of changes to the HR System.	Nichole Mendoza	Rhonda Stafford
13	Propriety of leave account classification on time records.	Nichole Mendoza	Rhonda Stafford
14	Consistent and efficient responses to inquiries.	Nichole Mendoza	Rhonda Stafford
CASH HANDLING			

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1 Collecting cash, checks, etc.	Viveca Montgomery (Fin. Coord)	Nichole Mendoza
2 Reconciling cash, checks, etc. to receipts.	Viveca Montgomery (Fin. Coord)	Nichole Mendoza
3 Preparing deposits.	Viveca Montgomery (Fin. Coord)	Nichole Mendoza
4 Preparing Journal Entries.	Viveca Montgomery (Fin. Coord)	Nichole Mendoza
5 Verifying deposits posted correctly in the Finance System.	(Accountant 2)	Nichole Mendoza
6 Adequacy of physical safeguards.	Viveca Montgomery (Fin. Coord)	Nichole Mendoza
7 Transporting deposits to Student Financial Services.	UHPD	NA
8 Ensuring deposits are made timely.	Viveca Montgomery (Fin. Coord)	Nichole Mendoza
9 Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Nichole Mendoza	Rhonda Stafford
10 Updating Cash Handling Procedures as needed.	Nichole Mendoza	Rhonda Stafford
11 Distribution of Cash Handling Procedures to employees who handle cash.	Nichole Mendoza	Rhonda Stafford
12 Consistent and efficient responses to inquiries.	Nichole Mendoza	Rhonda Stafford
PETTY CASH		
1 Preparing petty cash disbursements.	NA	NA
2 Ensuring petty cash disbursements are not for more than \$100.	NA	NA
3 Ensuring petty cash disbursements are made for only authorized purposes.	NA	NA
4 Approving petty cash disbursements.	NA	NA
5 Replenishing the petty cash fund timely.	NA	NA
6 Ensuring the petty cash fund is balanced after each disbursement.	NA	NA
LONG DISTANCE CHARGES		
1 Manager review of long distance charges for unusual activity.	Nichole Mendoza	Rhonda Stafford
2 Ensuring personal calls are reimbursed within 10 days from the billing date.	Nichole Mendoza	Rhonda Stafford
CONTRACT ADMINISTRATION		
1 Ensuring departmental personnel comply with contract administration policies/procedures.	Nichole Mendoza	Rhonda Stafford
PROPERTY MANAGEMENT		
1 Performing the annual inventory.	Nichole Mendoza	Rhonda Stafford
2 Ensuring the annual inventory was completed correctly.	Nichole Mendoza	Rhonda Stafford
3 Tagging equipment.	Nichole Mendoza	Rhonda Stafford
4 Approving requests for removal of equipment from campus.	Nichole Mendoza	Rhonda Stafford
DISCLOSURE FORMS		

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1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Nichole Mendoza	Rhonda Stafford
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Nichole Mendoza	Rhonda Stafford
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Division of Research.	Nichole Mendoza	Rhonda Stafford
ACCOUNTS RECEIVABLE			
1	Extending of credit.	NA	NA
2	Billing.	NA	NA
3	Collection.	NA	NA
4	Recording.	NA	NA
5	Monitoring credit extended.	NA	NA
6	Approving write-offs.	NA	NA
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	(Accountant 2)	Nichole Mendoza
2	Ensuring that research expenditures are covered by funds from sponsors.	(Accountant 2)	Nichole Mendoza
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Andrew Fortney (IT Support)	Nichole Mendoza
2	Ensuring that critical data back up occurs.	Andrew Fortney (IT Support)	Nichole Mendoza
3	Ensuring that procedures such as password controls are followed.	Andrew Fortney (IT Support)	Nichole Mendoza
4	Reporting of suspected security violations.	Andrew Fortney (IT Support)	Nichole Mendoza