

Research and Sponsored Programs
Baseline Standards
FY 2022

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.	Kevin Dorsey, Manager Financial Affairs	
2	Updating the Baseline Standards Form.	Kevin Dorsey, Manager Financial Affairs	
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Thali Guerrero, Coordinator ORSP	
2	Reviewing cost center verifications.	Leah Long, Department Business Administrator	
3	Approving cost center verifications.	Jerry Johnson Associate Vice President for Faculty, Research and Sponsored Programs	
4	Ensuring all cost centers are verified/approved on a timely basis. no later than 60 days after the accounting period is closed.	Kevin Dorsey, Manager Financial Affairs	
5	Identifies non-active non-project/grant cost centers and notify the appropriate department to deactivate the cost center.	Kevin Dorsey, Manager Financial Affairs	Leah Long, Department Business Administrator
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Brandi Smith-Irving, Executive Director, Research and Sponsored Programs	Jerry Johnson Associate Vice President for Faculty, Research and Sponsored Programs
2	Ensuring the validity of travel and expense reimbursements.	Leah Long, Department Business Administrator	Jerry Johnson Associate Vice President for Faculty, Research and Sponsored Programs
3	Ensuring that goods and services are received and that timely payment is made.	Leah Long, Department Business Administrator	Chris Boswell-Rodney - Executive Director, Financial Affairs
4	Ensuring correct account coding on purchases documents.	Kevin Dorsey, Manager Financial Affairs	Chris Boswell-Rodney - Executive Director, Financial Affairs
5	Primary contact for inquiries to expenditure transactions.	Thali Guerrero, Coordinator ORSP	Leah Long, Department Business Administrator
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.	Thali Guerrero, Coordinator ORSP	
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Thali Guerrero, Coordinator ORSP	
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Thali Guerrero, Coordinator ORSP	
4	Completing termination clearance procedures.	Thali Guerrero, Coordinator ORSP	
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Thali Guerrero, Coordinator ORSP	Leah Long, Department Business Administrator
6	Maintaining departmental Personnel files.	Thali Guerrero, Coordinator ORSP	
7	Ensuring valid authorization of new hires.	Thali Guerrero, Coordinator ORSP	
8	Ensuring valid authorization of changes in compensation rates.	Brandi Smith-Irving, Executive Director, Research and Sponsored	Jerry Johnson Associate Vice President for Faculty, Research
9	Ensuring the accurate input of changes to the HR System.	Thali Guerrero, Coordinator ORSP	
10	Consistent and efficient responses to inquiries.	Thali Guerrero, Coordinator ORSP	Leah Long, Department Business Administrator

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CASH HANDLING			
1	Collecting cash, checks, etc.	Thali Guerrero, Coordinator ORSP	
2	Prepares Departmental Deposit Form.	Thali Guerrero, Coordinator ORSP	
3	Approves Departmental Deposit Form.	Brandi Smith-Irving, Executive Director, Research and Sponsored	
4	Transports deposit to the Cashiers Office.	Thali Guerrero, Coordinator ORSP	
5	Preparing Journal Entries.	Kevin Dorsey, Manager Financial Affairs	
6	Verifying deposits posted correctly in the Finance System.	Kevin Dorsey, Manager Financial Affairs	
7	Adequacy of physical safeguards of cash receipts and equivalent.	Thali Guerrero, Coordinator ORSP	
8	Ensuring deposits are made timely.	Kevin Dorsey, Manager Financial Affairs	
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Brandi Smith-Irving, Executive Director, Research and Sponsored Programs	Jerry Johnson Associate Vice President for Faculty, Research and Sponsored Programs
10	Updating Cash Handling Procedures as needed.	Kevin Dorsey, Manager Financial Affairs	
11	Consistent and efficient responses to inquiries.	Thali Guerrero, Coordinator ORSP	Leah Long, Department Business Administrator
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.	Brandi Smith-Irving, Executive Director, Research and Sponsored Programs	Jerry Johnson Associate Vice President for Faculty, Research and Sponsored Programs
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Thali Guerrero, Coordinator ORSP	
2	Ensuring the annual inventory was completed correctly.	Brandi Smith-Irving, Executive Director, Research and Sponsored Programs	Jerry Johnson Associate Vice President for Faculty, Research and Sponsored Programs
3	Tagging equipment.	IT	
4	Approving requests for removal of equipment from campus.	Brandi Smith-Irving, Executive Director, Research and Sponsored Programs	Jerry Johnson Associate Vice President for Faculty, Research and Sponsored Programs
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Brandi Smith-Irving, Executive Director, Research and Sponsored	Jerry Johnson Associate Vice President for Faculty, Research
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Brandi Smith-Irving, Executive Director, Research and Sponsored	Jerry Johnson Associate Vice President for Faculty, Research
3	Ensuring that all Principal and Co-Principal Investigators complete the annual Conflict of Interest disclosure statement for the Office of Research and Sponsored Programs	Brandi Smith-Irving, Executive Director, Research and Sponsored Programs	Jerry Johnson Associate Vice President for Faculty, Research and Sponsored Programs
RESEARCH ADMINISTRATION			
1	Verifies that all grant cost centers contain positive budgetary balances.	NA	

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2 Ensuring that research expenditures are covered by funds from sponsors.	NA	
3 Notifies the appropriate department to deactivate expired grant cost centers.	NA	
4 Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	NA	
5 Verifies that effort reporting is accurately calculated (verifies actual time) and timely reported (quarterly).	NA	
6 Verifies that a Conflict of Interest Form is completed annually for all applicable employees; and submitted timely to the Division of Research.	NA	
SCHOLARSHIPS		
1 Prepares written department scholarship procedures (awarding, criteria, eligibility guidelines, etc...).	NA	
2 Verifies that all available department scholarships are publicized (web site, in department, etc...).	NA	
3 Verifies that the scholarship award recipient was eligible for the award and met all required criteria (<i>GPA, major, requisite hours, letters of recommendation, etc...</i>).	NA	
4 Verifies that the scholarship award recipient was eligible for the award and met all required criteria (<i>GPA, major, requisite hours, letters of recommendation, etc...</i>).	NA	
5 Reviews scholarship cost centers annually to help ensure that available scholarship funds are being awarded; and to identify excessive equity balances in scholarship cost centers.	NA	
NEGATIVE BALANCES		
1 Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Kevin Dorsey, Manager Financial Affairs	Leah Long, Department Business Administrator
2 Ensuring that research expenditures are covered by funds from sponsors.	Brandi Smith-Irving, Executive Director, Research and Sponsored Programs	Jerry Johnson Associate Vice President for Faculty, Research and Sponsored Programs
DEPARTMENTAL COMPUTING		
1 Management of the departments' information technology resources.	Manager, Technical Projects	
2 Ensuring that critical data back up occurs.	IT	
3 Ensuring that procedures such as password controls are followed.	All Employees	
4 Reporting of suspected security violations.	All Employees	