

Upward Bound Program
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.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Updating the Baseline Standards Form.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
FINANCIAL REPORTING - COST CENTER VERIFICATIONS			
1	Preparing cost center verifications.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Reviewing cost center verifications.	Dawana Lewis/Director	Pat Hartwell/ Program Coordinator
3	Approving cost center verifications.	Dawana Lewis/Director	Pat Hartwell/ Program Coordinator
4	Ensuring all cost centers are verified/approved on a timely basis, no later than 60 days after the accounting period is closed.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
5	Identifies non-active non-project/grant cost centers and notify the appropriate department to deactivate the cost center.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
FINANCIAL REPORTING - EXPENDITURE TRANSACTIONS			
1	Ensuring valid authorization of purchase documents.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Ensuring the validity of travel and expense reimbursements.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
3	Ensuring that goods and services are received and that timely payment is made.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
4	Ensuring correct account coding on purchases documents.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
5	Primary contact for inquiries to expenditure transactions.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
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.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Ensuring all monthly leave is recorded and approved before the deadlines set by Payroll.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
3	Reconciling approved reported time and leave (bi-weekly employees) and ePARs (monthly employees) to the trial and final payroll verification reports.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
4	Completing termination clearance procedures.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
5	Ensuring terminated employees are no longer charged to departmental cost centers.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
6	Maintaining departmental Personnel files.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
7	Ensuring valid authorization of new hires.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
8	Ensuring valid authorization of changes in compensation rates.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
9	Ensuring the accurate input of changes to the HR System.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
10	Consistent and efficient responses to inquiries.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director

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CASH HANDLING			
1	Collecting cash, checks, etc.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Prepares Departmental Deposit Form.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
3	Approves Departmental Deposit Form.	Dawana Lewis/Director	Pat Hartwell/ Program Coordinator
4	Transports deposit to the Cashiers Office.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
5	Preparing Journal Entries.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
6	Verifying deposits posted correctly in the Finance System.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
7	Adequacy of physical safeguards of cash receipts and equivalent.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
8	Ensuring deposits are made timely.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
9	Ensuring all employees who handle cash have completed Cash Security Procedures or Cash Deposit and Security Procedures training.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
10	Updating Cash Handling Procedures as needed.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
11	Consistent and efficient responses to inquiries.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
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
CONTRACT ADMINISTRATION			
1	Ensuring departmental personnel comply with contract administration policies/procedures.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
PROPERTY MANAGEMENT			
1	Performing the annual inventory.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Ensuring the annual inventory was completed correctly.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
3	Tagging equipment.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
4	Approving requests for removal of equipment from campus.	Dawana Lewis	Pat Hartwell/ Program Coordinator
DISCLOSURE FORMS			
1	Ensuring all employees with purchasing influence complete the annual Related Party disclosure statement online.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Ensuring all full time, benefits eligible, exempt faculty and staff complete the Consulting disclosure statement online.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
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	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
RESEARCH ADMINISTRATION			
1	Verifies that all grant cost centers contain positive budgetary balances.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Ensuring that research expenditures are covered by funds from sponsors.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director

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3	Notifies the appropriate department to deactivate expired grant cost centers.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
4	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
5	Verifies that effort reporting is accurately calculated (verifies actual time) and timely reported (quarterly).	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
6	Verifies that a Conflict of Interest Form is completed annually for all applicable employees; and submitted timely to the Division of Research.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
SCHOLARSHIPS			
1	Prepares written department scholarship procedures (awarding, criteria, eligibility guidelines, etc...).	n/a	n/a
2	Verifies that all available department scholarships are publicized (web site, in department, etc...).	n/a	n/a
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>).	n/a	n/a
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>).	n/a	n/a
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.	n/a	n/a
NEGATIVE BALANCES			
1	Ensuring that all fund groups for each Dept ID have positive fund equity at year-end.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Ensuring that research expenditures are covered by funds from sponsors.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
DEPARTMENTAL COMPUTING			
1	Management of the departments' information technology resources.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
2	Ensuring that critical data back up occurs.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
3	Ensuring that procedures such as password controls are followed.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director
4	Reporting of suspected security violations.	Pat Hartwell/ Program Coordinator	Dawana Lewis/Director