READINESS ASSESSMENT QUESTIONNAIRE

This document should be used when reviewing purchasing documents with the staff member being assessed for signature delegation. Questions in each of the three categories build on each other. For instance, a $1,235 purchase would need the questions of the <$500 category and the <$2,500 category addressed. A Readiness Assessment Questionnaire - Response Page should be completed for each document reviewed.

<$500 Purchase Level Issues

1. How was the need for the purchase communicated? Is there back-up documentation?

2. Is the document filled out completely and correctly?

3. Does the requester have authorization for the account number being used? If not, has authorization been received?

4. Are there sufficient funds in the account? How did you verify this?

5. How did you decide on the object to use? If you were unsure, who did you ask for clarification?

6. Is the vendor familiar to you? If so, was the "correct" purchasing process used? How did you arrive at this conclusion? If not, how did you conclude to use the process you did?

7. If the account is a sponsored research account, was the purchase allowable? If you weren't sure, who did you ask for clarification?

8. Is the purchase appropriate for the account? If you were not sure, how did you find out it was okay to use the account for this purpose?

9. Who should sign the document? On what did you base your decision?

<$2,500 Purchase Level Issues

1. Is this a valid fund source for this transaction?

2. On sponsored research funds for capital purchases, does the sponsor require specific approval? If so, was the item noted in the approved budget? How did you find out? If not, what did you do? Why? (OPAS/IPAS process? Switch accounts?)

3. Was an equipment screening process required? If unsure, how did you find out?

4. How does this purchase conform to the mission and needs of the department? How did you arrive at your conclusion?

5. Based on the above, is the purchase reasonable? If unsure, how did you arrive at an answer to this?

6. If a sponsored program account, was the purchase initiated in a timely manner when considering sponsor and project period requirements?
<$50,000 Purchase Level Issues

Assuming the person has conceptually internalized the concepts needed to pass through the previous levels of authority:

1. Was the transaction completed in the most efficient manner?
2. Does the approval system work? If not, how can it be improved?
3. Does the transaction correspond to the goals and mission of the School/University?
4. In accordance with A-110, was the appropriate equipment screening process followed?
5. Were all related issues considered?

SPS Travel Review

These questions should be used when reviewing travel documents with the staff member being assessed for SPS signature delegation on travel documents. Record the responses on the Readiness Assessment Questionnaire - Response Page for each document reviewed.

1. If a sponsored program fund, is the person traveling paid from the account? If not, what actions should be taken and were they taken?
2. Is the travel allowable and allocable to the project?
3. Are the necessary agency approvals in place?
This document is intended to be a response page only and should be used in conjunction with the Readiness Assessment Questionnaire. This response page should be completed for each document reviewed. Please make notes or circle the response as needed.

<$500 Purchase Level Issues

Type of Document:
1. 
2. 
3. 
4. 
5. 
6. 
7. 
8. 
9. 

<$2,500 Purchase Level Issues

Type of Document:
1. 
2. 
3. 
4. 
5. 
6.
<$50,000 Purchase Level Issues

Type of Document:
1. 

2. 

3. 

4. 

5. 

6. 

SPS Travel Review

Type of Document:
1. 

2. 

3.
READINESS ASSESSMENT SUMMARY

This document is meant to be a summary of any issues or concerns that arose as a result of the readiness assessments completed with the employee. Please complete these questions when the assessment period is complete and a signature delegation decision has been made.

Assessment for:

List any issues or concerns which arose as a result of the readiness assessment.

Is any further development or training needed for this employee before signature delegation is assigned? List issues or concerns.

Based on this readiness assessment, do you recommend this person be delegated signature authority? Why?

Level of Authority Recommended:

Assessment completed by:  
Date: