

Quality Assurance Review Preparation List

Financial Responsibilities

This department:

1. Complied with DePaul's delegation of approval authority procedures that require that "two sets of eyes" review each transaction, and maintained a segregation of incompatible duties (custody, approval, accounting and reconciliation), so that budgetary tasks were performed by more than one person.
2. Regularly reviewed and updated delegations made in PeopleSoft for proper authorization of activities related to active Dept. Ids.
3. Conducted monthly reviews of its financial reports and met department reconciliation and oversight requirements.
4. Maintained a cash receipts journal, provided a receipt to those who made a payment, and conducted periodic checks of the cash receipts journal and the Financial Activity report to confirm that collections were deposited on a timely basis.
5. Did not maintain a department petty cash fund, unless a legitimate need to maintain one was determined.
6. Did not make any gifts or donations in DePaul's name to other individuals, groups or organizations without proper approval from the department's university officer.
7. Ensured gifts were not solicited from outside parties without first obtaining approval from the Office of Advancement.
8. Obtained permission from Accounts Payable prior to purchasing cash equivalents, such as gift cards, for distribution as gifts or tokens of appreciation to department employees.
9. Obtained approval from the Office of Advancement prior to planning, publicly announcing, or conducting any fundraising events.
10. Used the Employee and Guest Reimbursement Form and followed proper procedures, such as submitting original receipts, detailing the business purpose and other information as required by policy.
11. Adhered to the contract review procedures, including financial thresholds, negotiation authority, execution authority, legal review and filing requirements, as determined by the Contract Requirements and Procedures policy.
12. Submitted all proposals to private funders to the Office of Development and all other proposals to the Office of Research Services before submitting them or contacting a prospective external funder.
13. Ensured that grant funds were not used to make charitable contributions.
14. Entered purchase requisitions to initiate purchases of goods and/or services from outside sources more than \$3,500 prior to the order being placed or services rendered.
15. Ensured that all ProCard expenses were in line with the ProCard and Prohibited Spend policies, including documentation of a proper business reason, scanned itemized receipt in the PNC system, and timely submission and approval of transactions.
16. Obtained competitive bids for all purchases totaling more than \$25,000 and maintained bid documentation on file.
17. Safeguarded all essential and valuable department equipment or assets and ensured they were properly disposed of through Procurement Services when no longer needed.
18. Has procedures in place to safeguard cardholder data as required by the Payment Card Industry Data Security Standard (PCI-DSS).

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Human Resource (HR) Responsibilities

This department:

1. Maintained current job descriptions for all of its positions.
2. Adhered to HR hiring guidelines, including recruitment procedures and completion of reference checks by HR or by the department's hiring manager, when candidates were interviewed for open positions.
3. Did not give any preferential treatment or consideration to relatives of employees, and no employees worked in a supervisory capacity with a relative in their direct reporting line.
4. Ensured all new hires in this department completed Form I-9 prior to or on the employees' first day of employment.
5. Ensured that supervisors reviewed and approved timesheets of the hours worked by all non-exempt employees, ensured all hours worked were recorded, and did not grant any compensatory time or add extra hours (that were not worked) to a timesheet to "reward" an employee.
6. Tracked vacation time, sick time and floating holidays taken by direct reports.
7. Student employee eligibility enrollment status and work hour requirements for department undergraduate student employees, graduate student employees, and international student employees were met.
8. Directed employees to follow the procedures on HR's web site for time off under the Family Medical Leave Act (FMLA).
9. Notified HR of all leave of absence requests, including time off for FMLA reasons.
10. Maintained a drug-free workplace and ensured the consumption of alcohol was restricted to persons 21 years of age or older.
11. Ensured that performance reviews were completed for all department staff.
12. Ensured no incentive compensation was awarded based on success in securing enrollments or awarding aid, as prohibited by the Higher Education Act.
13. Followed HR's progressive discipline procedures when handling a staff member's unsatisfactory performance.
14. Ensured that all Americans with Disabilities Act (ADA) requirements were met.
15. Consulted with University Tax Services or the Accounts Payable department prior to hiring a consultant or independent contractor to determine their proper employment classification.
16. Followed proper procedures when foreign nationals sought temporary employment visas and/or applications for permanent U.S. residency.

Information Responsibilities

This department:

1. Reported all information security breaches, data losses or abuses to the appropriate university authority.
2. Followed the contract requirement and review procedures prior to sharing any confidential DePaul data with an outside service provider.
3. Ensured that employees in this department did not disclose computer passwords or any other sensitive electronic information to anyone.
4. Used information resources for educational and business purposes only.
5. Ensured that Family Educational Rights and Privacy Act (FERPA) requirements were effectively communicated to employees with access to sensitive student data.

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6. Regularly and properly backed up mission critical information and had recovery processes in place.
7. Knew and followed the local, state or federal records retention laws and DePaul's Records Management Policy and submitted a Disposal Certificate to the Director of Records Management prior to disposing of or destroying any official university records.
8. Ensured that no documents, records or information that fell within the scope of a legal hold were disposed of, transferred or destroyed.
9. Referred all media inquiries regarding DePaul's students, administration or operations, to the Office of Public Relations and Communications.
10. Is aware of the policies governing copyright and intellectual property rights and have worked with appropriate university offices or property owners to coordinate necessary permissions.
11. Ensured that DePaul's logos and name were used appropriately and were approved prior to being used.

Community Responsibilities

This department:

1. Carried out our professional duties and responsibilities in accordance with the university's mission, conducted business in an ethical and professional manner, safeguarded the university's resources and treated others with dignity and respect.
2. Conducted ourselves in accordance with DePaul's Equal Employment Opportunity standard, providing equal employment opportunities in all aspects of employment including recruitment and selection of new employees, promotions, transfers, compensation, training, benefits, terminations and other terms and conditions of employment.
3. Referred all complaints of discrimination or harassment to the appropriate authority – HR or Title IX Coordinator.
4. Ensured all employees have read and complied with the university's Conflict of Interest policy. Any conflicts or appearance of conflicts have been reported and appropriate steps taken to ensure the university's best interests are protected.
5. Ensured that no political candidate or platform was unfairly promoted or denounced due to DePaul's status as a non-profit, tax-exempt organization and worked with the Office of Community & Government Relations when contacting any public officials.
6. Ensured that department staff complied with NCAA and Big EAST Conference rules regarding treatment of student-athletes and contact with prospective student-athletes.

Workplace Safety Responsibilities

This department:

1. Knew and followed emergency and evacuation procedures.
2. Knew and followed DePaul's Chemical Hygiene Plan and Hazards Communication policy, if applicable.
3. Ensured all employees were aware of reporting responsibilities when there was any suspected abuse or neglect of a minor known to them in their professional or official capacity to the Illinois Department of Children and Family Services.

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Compliance Responsibilities

This department:

1. Ensured that managers participated in Management Standards Training and followed the policies and procedures outlined in the Management Standards Handbook.
2. Ensured that all employees in this area completed General Compliance Training.
3. Registered all programs involving minor children with Compliance & Risk Management.