

Manager Control Self-Assessment Certification For Those Directing Sponsored Projects

The items below pertain to the responsibilities outlined in DePaul University's Management Standards Handbook, DePaul's Administration of Externally Funded Grants and Contracts policy, and to best practices in grants administration. When responding, consider your grants management practices during the 2017 fiscal year (July 1, 2016 – June 30, 2017). If you respond "not affirmed" to any item, please provide an explanation.

As someone directing one or more externally sponsored projects at DePaul, I . . .

Affirmed	Not Affirmed	Not Applicable
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Responsibilities Involving Proposal and Award Acceptance

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|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. Worked with the Office of Research Services (ORS) to ensure that my proposals underwent institutional review and approval before being submitted. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. Relied on ORS or Development (depending upon the sponsor) to submit my proposals on behalf of the university. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. Forwarded grant agreements, checks, and other such documents received from the sponsor to ORS or Development for review and processing. |

Responsibilities Involving Financial Management and Stewardship

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|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. Conducted monthly reviews of the financial activity reports for my sponsored projects(s) to monitor and reconcile expenses; or examined and approved the reviews completed on my behalf by a college or department business manager. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. Initiated corrections of any errors in the financial activity reports for my sponsored project(s) in a timely manner; or approved the corrections being initiated on my behalf by a college or department business manager. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. Ensured that "two sets of eyes" reviewed each financial transaction so that no one person initiated and approved any transaction. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 4. Avoided using my sponsored project funds to purchase gifts or to make charitable donations. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 5. Avoided assigning or transferring costs to any of my sponsored project(s) for reasons of convenience—to use up an account surplus, for example, or to temporarily "park" expenses that were not of benefit to the project. |

Responsibilities Involving Hiring, Supervision and Diversity

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|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. When hiring project staff, ensured that HR recruitment procedures were followed and that required checks and verifications were completed. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. Ensured that student workers observed work limitation and enrollment requirements. |

Affirmed	Not Affirmed	Not Applicable
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|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. As applicable, ensured that time and effort reporting required for federal grant projects was completed accurately and promptly. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 4. Provided reasonable accommodations to project staff requesting them under the Americans with Disabilities Act (ADA), and scheduled project workshops or events in ADA compliant facilities. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 5. Referred any complaints of discriminatory harassment to the Office of Institutional Diversity and Equity, and reported any complaints of sexual or gender harassment to the appropriate authority. |

Responsibilities Involving Reporting and Data Management

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|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. Submitted required technical (programmatic) reports on schedule, following the procedures established by the sponsor(s), and met deadlines for other required deliverables. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. Refrained from submitting financial reports involving my sponsored project(s) to the sponsor(s), relying instead on Restricted Accounting to do this on my behalf. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. Developed--and communicated to project staff--procedures for collecting, recording, protecting, storing, and sharing any research data collected as part of my sponsored project(s). |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 4. Reported any information security breaches, data losses, or abuses to the appropriate university authority. |

Responsibilities Involving Responsible Conduct of Research

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|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 1. Obtained approval from the appropriate review board—IRB, IACUC or IBC—before beginning any sponsored research involving human subjects, laboratory animals, or recombinant DNA. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 2. Reported to ORS any financial conflicts of interest that could affect, or appear to affect, the integrity of my research. |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 3. When working with research trainees, provided guidance regarding how their performance will be evaluated; how responsibilities are to be shared or divided; and how issues of authorship and ownership will be addressed. |