

# Manager Control Self-Assessment Checklist

*These checklist items pertain to the responsibilities outlined in DePaul University's Management Standards Handbook. Use this document to prepare for the Manager Control Self-Assessment Certification, a Quality Assurance Review or to ensure compliance with university standards.*

## Financial Responsibilities

1. Two sets of eyes reviewed each transaction.
2. Delegations in PeopleSoft Campus Solutions were regularly reviewed and updated for proper authorization of activities related to the department's active Dept. Ids.
3. Monthly reviews of financial reports were conducted and oversight requirements were met.
4. Budgetary and administrative tasks were appropriately segregated between different staff members.
5. The cash receipts journal was checked against Financial Activity reports.
6. Petty cash was eliminated or a need for it was determined.
7. The department did not make any gifts or donations on behalf of DePaul.
8. University funds were not used to purchase gifts for employees. Authorization from Accounts Payable was obtained prior to purchasing cash equivalents for distribution as gifts or tokens of appreciation to department employees.
9. Gifts were not solicited from outside parties.
10. Approval was obtained from the Office of Advancement prior to planning, publicly announcing or conducting any fundraising events.
11. A ProCard or the General Reimbursement form was used for all local and out-of-town travel, entertainment or other reimbursable items, and included original receipts and a description of the expense.
12. Contract negotiation and execution procedures were met and contracts were reviewed by the appropriate authorities.
13. The initial clearance process was followed prior to submitting a proposal for external funding. Development was contacted prior to submitting or contacting a private funder. The Office of Research Services was contacted for all other proposals.
14. The Fly America Act guidelines were followed when federal grant money was used to fly internationally.
15. Grant funds were not used for charitable contributions.

16. Purchase requisitions were entered to initiate purchases of more than \$2,500 from outside sources for goods and services prior to the order being placed or work conducted. (Exceptions were first cleared with the director of Procurement Services.)
17. This department utilized a Procurement Card (ProCard) for purchases less than \$2,500 (or the pre-determined threshold for a few exceptions). These purchases were used only for DePaul business. Pro Card transactions were documented by legible receipts stored in the on-line Proard system. The department's ProCard reports were submitted for approval within two weeks of the ProCard statement closing date.
18. Bids and written justification were received for Requests for Proposals (RFPs) or purchases totaling more than \$25,000 and documentation of the bid is on file and available for review with the department.
19. Procurement Services was contacted before discarding any university assets, such as equipment or furniture.
20. Departmental procedures are in place to safeguard cardholder data as required by the Payment Card Industry Data Security Standard (PCI-DSS).

### **Human Resource (HR) Responsibilities**

1. Job descriptions were maintained for all departmental positions.
2. HR recruitment procedures and reference checks were completed for all potential new employees.
3. No preferential consideration was given to relatives of employees, and no employees worked in a supervisory capacity with a relative as a direct report.
4. All new employees filled out a Form I-9 prior to or on their first day of employment at DePaul.
5. Time reporting reports were reviewed and approved for all non-exempt employees, no compensatory time was added as a "reward", and all time worked was recorded.
6. All employees' vacation time, floating holidays, and sick time were recorded by both exempt and non-exempt employees.
7. Student employee hours did not exceed the maximum number of hours the student employee was eligible to work based on their academic and citizenship status.
8. Employees were directed to follow the procedures on HR's Web site for time off for Family Medical Leave (FMLA).
9. HR was notified when any leaves of absence were requested and a Leave of Absence form was filled out.
10. The department maintained a drug-free workplace. The consumption of alcohol on DePaul University property was restricted to persons 21 years of age or older.
11. Performance reviews were completed for all employees.

12. New staff members received a performance appraisal in their first six months of employment.
13. Progressive discipline procedures were followed when an employee's performance was unsatisfactory.
14. In accordance with the Americans with Disabilities Act, job descriptions were regularly reviewed to ensure that all physical or mental job requirements are job-related, consistent with business necessity and necessary for safe job performance.
15. Prior to hiring a new consultant or independent contractor, University Tax Services or the Accounts Payable department helped determine the proper employment classification.
16. Proper procedures were followed when any foreign nationals sought temporary employment visas or applications for permanent residency.

### **Information Responsibilities**

1. Information security breaches, data losses and abuses were properly reported.
2. Contract requirement and review procedures were followed prior to sharing any confidential DePaul data with an outside service provider.
3. Passwords and other sensitive electronic information were not disclosed.
4. This department made sure that its information resources were used for educational and business purposes only.
5. Sensitive electronic materials, such as student academic records, were closely guarded in accordance with the Family Education Rights and Privacy Act (FERPA).
6. This department ensured that mission critical information was properly and regularly backed up, and had recovery processes in place.
7. Local, state and federal records retention laws as well as DePaul's Records Management Policy were followed. A Disposal Certificate was filled out when records were disposed of or destroyed.
8. No documents, records or information that fell within the scope of a legal hold were disposed of, transferred or destroyed.
9. The department referred all media inquiries regarding DePaul's students, administration or operations to the Office of Public Relations and Communications.
10. The university's policies governing copyright and intellectual property rights were followed.
11. The university's name and logos received approval for use and were used appropriately.

### **Community Responsibilities**

1. DePaul's mission was adhered to – business was conducted in an ethical and professional manner, the university's resources were safeguarded and others were treated with dignity and respect.

2. DePaul's EEO policy was followed in recruitment and selection of new employees, promotions, transfers, compensation, training, benefits, terminations and other terms and conditions of employment.
3. All complaints of discriminatory harassment were appropriately reported.
4. All complaints of sexual or gender harassment were appropriately reported.
5. Conflicts of interest were avoided or disclosed and evaluated.
6. No political candidates were endorsed or opposed using DePaul as a forum to do so. The appropriate avenue for contacting political officials was used.
7. Department staff complied with NCAA and Big EAST Conference rules regarding treatment of student-athletes and contact with prospective student-athletes.

### **Workplace Safety Responsibilities**

1. Emergency and evacuation procedures were followed.
2. The Chemical Hygiene and Hazards Communication policies were followed.
3. Any suspected abuse or neglect of a minor known to me in my professional or official capacity was reported to DCFS.

### **Compliance Responsibilities**

1. Management Standards Training was completed and the policies and procedures outlined in the Management Standards Handbook were followed.
2. The department worked with managers of high risk areas (e.g. FERPA, Safety, etc.) to take appropriate steps in mitigating any specific risks to the department.
3. All direct reports completed General Compliance Training.