

# **Manager Control Self-Assessment Certification For Those Directing Sponsored Projects**

*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 for Those Directing Sponsored Projects, a Quality Assurance Review, or to ensure compliance with university standards.*

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

## **Proposals and Award Acceptance**

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

## **Financial Management & Stewardship**

- 1. Conducted monthly reviews of the financial activity reports for my sponsored project(s) to monitor and reconcile expenses; or examined and approved the reviews completed on my behalf by a college or department business manager.
- 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.
- 3. Ensured that “two sets of eyes” reviewed each financial transaction so that no one person initiated and approved any transaction.
- 4. Avoided using my sponsored project funds to purchase gifts or to make charitable donations.
- 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.

## **Hiring, Supervision, and Diversity**

- 1. When hiring project staff, ensured that HR recruitment procedures were followed and that required checks and verifications were completed.

- 2. Ensured that student workers observed work limitation and enrollment requirements.
- 3. As applicable, ensured that time and effort reporting required for federal grant projects was completed accurately and promptly.
- 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.
- 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.

### **Reporting and Data Management**

- 1 Submitted required technical (programmatic) reports on schedule, following the procedures established by the sponsor(s), and met deadlines for other required deliverables.
- 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.
- 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).
- 4. Reported any information security breaches, data losses, or abuses to the appropriate university authority.

### **Responsible Conduct of Research**

- 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.
- 2. Reported to ORS any financial conflicts of interest that could affect, or appear to affect, the integrity of my research.
- 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.