

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.