Manager Control Self-Assessment Certification

As a manager of DePaul University’s resources – both financial and human – you are required to complete the Manager Control Self-Assessment Certification on an annual basis. These items pertain to the responsibilities outlined in DePaul University’s Management Standards Handbook. When responding, consider your business practices during the 2015 fiscal year (July 1, 2014 through June 30, 2015). If you respond “not affirmed” to any item, please provide an explanation. Please note: Any reference to a department in this document also applies to an agency account, center, grant or any other unit that has a separate budget.

Financial Responsibilities

1. As the budget manager, I ensured this department complied with DePaul’s delegation of approval authority procedures that require that “two sets of eyes” review each transaction, so that no one person initiates and approves any one transaction.

2. As the budget manager, I regularly reviewed and updated my delegations made in PeopleSoft for proper authorization of activities related to my active Dept. Ids.

3. As the budget manager, I ensured this department conducted monthly reviews of its financial reports and met department reconciliation and oversight requirements.

4. As the budget manager, I ensured this department maintained a segregation of incompatible duties (custody, approval, accounting and reconciliation), so that budgetary tasks were performed by more than one person.

5. As the budget manager, I ensured this department kept a cash receipts journal, provided a receipt to those who made a payment, and conducted periodic checks of the cash receipts journal and the Mobius report to confirm that collections were deposited on a timely basis.

6. As the budget manager, I did not maintain a department petty cash fund. (If a legitimate need to maintain a petty cash fund was determined, please mark “Not Affirmed” and explain.)

7. As the budget manager, I ensured this department 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.

8. As the budget manager, I ensured this department 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. As the budget manager, I ensured gifts were not solicited from outside parties without first obtaining approval from the Office of Advancement.

10. As the budget manager, I ensured this department obtained approval from the Office of Advancement prior to planning, publicly announcing, or conducting any fundraising events.

11. As the budget manager, I ensured this department used either a ProCard or the Employee and Guest Reimbursement Form for all local or out-of-town travel, entertainment or other reimbursable items and followed proper procedures, such as submitting original receipts, detailing the business purpose and other information as required by policy.
12. As the budget manager, I ensured this department 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.

13. As the budget manager, I ensured this department 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.

14. As the budget manager, I ensured that all related specifications of the Fly America Act and any grant expenditure restrictions were followed.

15. As the budget manager, I made sure that grant funds were not used to make charitable contributions.

16. As the budget manager, I ensured this department entered purchase requisitions to initiate purchases of goods and/or services from outside sources totaling more than $2,500 prior to the order being placed or services rendered.

17. As the budget manager, I ensured this department utilized a Procurement Card (ProCard) for DePaul business purchases less than $2,500.

18. As the budget manager, I ensured ProCard transactions were reconciled monthly to Financial Activity Reports, original receipts were reviewed and maintained, and all cardholder statements were submitted and approved within two weeks of the ProCard statement closing date.

19. As the budget manager, I ensured this department obtained competitive bids for all purchases totaling more than $25,000 and maintained bid documentation on file.

20. As the budget manager, I ensured that all essential and valuable department equipment or assets were safeguarded and were properly disposed of through Procurement Services when no longer needed.

21. As a budget manager accepting payment card transactions, I have procedures in place to safeguard cardholder data as required by the Payment Card Industry Data Security Standard (PCI-DSS).

Human Resource (HR) Responsibilities

1. This department maintained current job descriptions for all of its positions.

2. This department 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. This department 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. All new hires in this department completed Form I-9 prior to or on the employees’ first day of employment.

5. As a manager, I reviewed and approved timesheets of the hours worked by all non-exempt employees that reported to me, 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. As a manager, I tracked vacation time, sick time and floating holidays taken by my 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. Employees were directed to follow the procedures on HR’s web site for time off under the Family Medical Leave Act (FMLA).

9. As a manager, I notified HR of all leave of absence requests, including time off for FMLA reasons.

10. This department maintained a drug-free workplace and ensured the consumption of alcohol was restricted to persons 21 years of age or older.

11. Performance reviews were completed for all department staff.

12. This department ensured no incentive compensation was awarded based on success in securing enrollments or awarding aid, as prohibited by the Higher Education Act.

13. As a manager, I followed HR’s progressive discipline procedures when handling a staff member’s unsatisfactory performance. (If all staff performance was satisfactory or better, choose “Not Applicable”.)

14. This department ensured that all Americans with Disabilities Act (ADA) requirements were met.

15. As a manager, I 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. This department followed proper procedures when foreign nationals sought temporary employment visas and/or applications for permanent U.S. residency.

**Information Responsibilities**

1. All information security breaches, data losses or abuses were reported to the appropriate university authority.
2. This department followed the contract requirement and review procedures prior to sharing any confidential DePaul data with an outside service provider.

3. Employees in this department did not disclose computer passwords or any other sensitive electronic information to anyone.

4. This department’s information resources were used for educational and business purposes only.

5. As a manager, I ensured that Family Educational Rights and Privacy Act (FERPA) requirements were effectively communicated to employees with access to sensitive student data.

6. As a manager, I ensured this department regularly and properly backed up mission critical information and had recovery processes in place.

7. As a manager, I 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. As a manager, I ensured that no documents, records or information that fell within the scope of a legal hold were disposed of, transferred or destroyed.

9. As a manager, I ensured this department referred all media inquiries regarding DePaul's students, administration or operations, to the Office of Public Relations and Communications.

10. I am 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. This department ensured that DePaul’s logos and name were used appropriately and were approved prior to being used.

**Community Responsibilities**

1. I carried out my 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. I conducted myself 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. As a manager, I referred all complaints of discrimination or harassment to the Office of Institutional Diversity and Equity or other appropriate authority.

4. As a manager, I 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. As a manager, I 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. As a manager, I ensured 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. As a manager, I ensured this department knew and followed emergency and evacuation procedures.

2. As a manager, I ensured that everyone knew and followed DePaul’s Chemical Hygiene Plan and Hazards Communication policy.

3. As a university employee, I reported any suspected abuse or neglect of a minor known to me in my professional or official capacity to the Illinois Department of Children and Family Services.

**Compliance Responsibilities**

1. As a manager, I participated in Management Standards Training and followed the policies and procedures outlined in the Management Standards Handbook.

2. As a manager, I worked with managers of high-risk areas (e.g.: FERPA, Safety, etc.) to take appropriate steps in mitigating any specific risks that could impact my area.

3. As a manager, I ensured that all employees in my area completed General Compliance Training.