

UT- Arlington

Handed out  
By TAMUS  
at CFO  
meeting

### Self-Assessment Certification

[Name of Department] maintains a system of internal control that is designed to provide reasonable assurance regarding the achievement of objectives in the following categories:

- ◆ Effectiveness and efficiency of operations (including the safeguarding of assets against unauthorized acquisition, use, or disposition),
- ◆ Reliability of financial information, and
- ◆ Compliance with applicable laws and regulations.

[Name of Department] has self-assessed its system of internal control as of August 31, 2004 in relation to criteria in state and federal law, A&M System policies, regulations and rules, and [A&M System member's name's] procedural guidelines. Based upon the department's self-assessment (and as documented on the following pages), it is my opinion that, as of August 31, 2004, the system of internal control for the [Name of Department] is adequately designed, properly executed, and effective (except where indicated below).

Certified by: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**Financial Stewardship**

(check each item that applies to your departmental operations)

During the fiscal year ended August 31, 2004:

- [Name of Department] complied with applicable purchasing procedures.
- As department head, I reviewed FAMIS transactions processed against departmental accounts. I also reviewed FAMIS supporting documentation, where appropriate.
- [Name of Department] maintains adequate segregation of financial duties; no single individual entered FAMIS transactions, approved FAMIS transactions, handled cash receipts, tracked accounts payable, and/or reconciled departmental accounts.
- The Chancellor or designee signed all departmental contracts and/or agreements as approved in the delegation of authority for contract administration.
- [Name of Department] retains supporting documentation for all FAMIS/BPP transactions in accordance with the appropriate records retention schedule; departmental files are neat, orderly, and complete.
- [Name of Department], participated in HUB purchasing, and complied with HUB subcontracting requirements, if applicable.
- [Name of Department] does not allow departmental personnel to disclose computer passwords.
- [Name of Department] reconciled departmental accounts on a monthly basis; and departmental accounts are reconciled through fiscal year-end.
- [Name of Department] processed vendor invoices in a timely fashion so that prompt payment deadlines were met (assuming that goods or services had been received).
- [Name of Department] deposited cash receipts on a daily basis (or within the three day requirement if collections are nominal) with the SAGO Business Office, and maintained the appropriate supporting records.
- [Name of Department] did not overspend departmental accounts.
- [Name of Department] received full reimbursement from employees for all personal costs, including long-distance telephone charges, personal copies, etc., paid with departmental funds, if any.

**Financial Stewardship Exceptions (if any), as follows:**

**Financial Stewardship Corrective Actions Taken (including implementation dates, if required), as follows:**

**Asset Security**

(check each item that applies to your departmental operations)

As of the fiscal year ended August 31, 2004:

- [Name of Department] capital equipment records in FAMIS are accurate and complete.
- [Name of Department] assets that are susceptible to theft were adequately secured and safeguarded.
- Confidential, sensitive, HIPAA-protected, or essential data that resides on departmental computers was adequately protected from accidental or unauthorized disclosure, modification, or destruction; there were no unlicensed software products on departmental computers, at any other time.
- [Name of Department] information systems were reviewed and a risk assessment of systems was conducted as defined in TAC 202.
- [Name of Department] has a disaster recovery and back-up process for departmental mission critical information,
- [Name of Department] has adequate security over information particularly confidential information.

**Asset Security Exceptions (if any), as follows:**

**Asset Security Corrective Action Taken (including implementation dates, if required), as follows:**

**Human Resources Management**

*(check each item that applies to your departmental operations)*

During the fiscal year ended August 31, 2004:

- As department head, I have required the completion of equal employment opportunity (EEO) training for all new employees, as well as supplemental EEO training every two years.
- [Name of Department] maintained accurate and complete time and leave records for all employees (as necessary) including FLSA overtime requirements for nonexempt employees.
- All employees in [Name of Department] received a written performance evaluation within the last 12 months. Also, all position descriptions have been reviewed and updated as necessary.
- All work-related injuries were reported in accordance with established institutional policies and procedures.
- [Name of Department] requires training on sexual harassment and discrimination both for new hires and every two years thereafter as required by System Regulation.
- [Name of Department] has a training curriculum for employees.
- [Name of Department] has completed and organized files for hiring decisions.
- [Name of Department] completed orientation procedures for all new employees and out-processing procedures for terminating employees.
- [Name of Department] complied with all federal and state workplace notification posting requirements.
- Maintained all personal medical information regarding employees separately from employees' personnel records and in a secure and confidential manner.
- Completed all personnel actions, including new hires, terminations, retirements, FMLA leaves, and leaves without pay in a timely manner.
- Required all employees who hold external employment to submit proper documentation for approval.
- Required all employees to complete required training on ethics and nondiscrimination in the workplace, and other training required for their position.
- Required all employees who require specific licenses or certifications to perform their jobs to renew and/or complete required training as necessary.
- Complied with EEO, state and System hiring practices to prevent biased hiring practices.

**Human Resources Management Exceptions (if any) as follows:**

**Human Resources Management Corrective Action Taken (including implementation dates, if required), as follows:**

**Effective Operations**

*(check each item that applies to your departmental operations)*

For the fiscal year ended August 31, 2004:

- [Name of Department] has addressed all internal and external audit recommendations.

**Effective Operations Exceptions (if any) as follows:**

**Effective Operations Corrective Action Taken (including implementation dates, if required), as follows:**

**Compliance with Laws and Regulations**

*(check each item that applies to your departmental operations)*

During the fiscal year ended August 31, 2004:

- [Name of Department] complied with all federal, state, and municipal laws and regulations (including contract and grant provisions) and with System policies, regulations, and component rules.

**Compliance with Laws and Regulations Exceptions (if any), as follows:**

**Compliance with Laws and Regulations Corrective Action Taken (including implementation dates, if required), as follows:**

[In the following paragraphs, discuss all items omitted from the above listing (including word changes). Include planned corrective actions and implementation dates if not discussed above.]