

UT Tyler

2002 Self-Assessment Report on Internal Control

U.T. System's *Action Plan to Enhance Internal Control* requires "every department to perform an annual control self-assessment and to issue a self-assessment report on internal control to its Vice President."

SECTION 1

EXAMPLE

Budget Authority:

Select Administrative Officer that you report to:

Created:

03/25/2003

EXAMPLE 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.

EXAMPLE has self-assessed its system of internal control as of August 31, 2002 in relation to criteria in U. T. Tyler's *Management Responsibilities Handbook*. Based upon the department's self-assessment, [except for matters noted below,] it is my opinion that, as of August 31, 2002 the department's system of internal control is adequately designed, properly executed, and effective.

SECTION 2

NOTE: Explain all items that you check as Not Applicable or Not Affirmed. If marked "Not Affirmed" include planned corrective actions and implementation dates in the corresponding Explanation field.

Financial Stewardship

- ✓
AFFIRMED 1. This Department/Budget Group complied with U. T. Tyler purchasing procedures during the fiscal year ended August 31, 2002.
- ✓
AFFIRMED 2. As department head [or budget authority], I reviewed supporting documentation for all DEFINE transactions processed against departmental accounts during the fiscal year ended August 31, 2002.
- ✓
AFFIRMED 3. This Department/Budget Group maintained adequate segregation of financial duties; no one person enters Define transactions, approves DEFINE transactions, handles cash receipts, and reconciles departmental accounts.
- ✓
AFFIRMED 4. The President, Vice President for Business Affairs, or Assistant Vice President for Business Affairs signed all departmental contracts during the fiscal year ending August 31, 2002 and the original contracts were on file in Financial Services.
- ✓
AFFIRMED 5. This Department/Budget Group retained supporting documentation for all DEFINE transactions in accordance with U. T. Tyler's records retention schedule; departmental files are neat and orderly.
- ✓
AFFIRMED 6. This Department/Budget Group has made a "good faith" effort to achieve HUB purchasing goals for the year ended August 31, 2002.
- ✓
AFFIRMED 7. This Department/Budget Group did not allow departmental personnel to disclose computer passwords.
- ✓
AFFIRMED 8. This Department/Budget Group reconciled departmental accounts on a monthly basis during the fiscal year ended August 31, 2002; departmental accounts were reconciled through August 31, 2002.
- ✓
AFFIRMED 9. This Department/Budget Group processed vendor invoices no later than 11 calendar days after the receipt of invoices (assuming that goods or services had been received).
- ✓
AFFIRMED 10. This Department/Budget Group deposited cash receipts on a daily basis with the Cashiers' Office during the fiscal year ended August 31, 2002.
- ✓
AFFIRMED 11. This Department/Budget Group did not overspend departmental accounts during the fiscal year ended August 31, 2002.

Asset Security

- ✓
AFFIRMED 1. This Department/Budget Group capital equipment records in DEFINE were accurate and complete as of August 31, 2002.
- ✓
AFFIRMED 2. This Department/Budget Group assets that are susceptible to theft were adequately secured and safeguarded during the fiscal year ended August 31, 2002.
- ✓
AFFIRMED 3. Confidential, sensitive, or essential data that resides on departmental computers was adequately protected from accidental or unauthorized disclosure, modification, or destruction for the year ended August 31, 2002; there were no unlicensed software products on departmental computers as of August 31, 2002.

Human Resources Management

- Not Applicable
Explanation
Required →
✓
AFFIRMED 1. As department head [or budget authority], I completed EEOC compliance records for all new employees hired during the fiscal year ended August 31, 2002.
no new employees
- ✓
AFFIRMED 2. This Department/Budget Group made a "good faith" effort to achieve workforce diversity as of August 31, 2002, as defined by U. T. System's policy on workforce diversity.
- ✓
AFFIRMED 3. This Department/Budget Group maintained accurate and complete time and leave records in DEFINE for all non-exempt employees and leave records for exempt employees during the fiscal year ended August 31, 2002.
- ✓
AFFIRMED 4. All full time employees in this Department/Budget Group received a written performance evaluation during the fiscal year ended August 31, 2002.
- ✓
AFFIRMED 5. All benefits eligible employees in this Department/Budget Group completed the required compliance training modules on the web during the fiscal year ended August 31, 2002.

Effective Operations

- ✓
AFFIRMED 1. This Department/Budget Group had written goals and objectives as of August 31, 2002.
- ✓
AFFIRMED 2. This Department/Budget Group had a departmental policies and procedures manual as of August 31, 2002, that addressed policies and procedures that were unique to departmental operations.
- ✓
AFFIRMED 3. This Department/Budget Group complied with U. T. System's policy on minimum faculty teaching loads for the fiscal year ended August 31, 2002.
- ✓
AFFIRMED 4. This Department/Budget Group had a documented system of planning and evaluation as of August 31, 2002, which complied with SACS standards on institutional effectiveness; the results of evaluations were used to improve operations during the fiscal year ended August 31, 2002.
- ✓
AFFIRMED 5. This Department/Budget Group implemented all internal and external audit recommendations as of August 31, 2002.

Compliance with Laws and Regulations

- ✓
AFFIRMED 1. This Department/Budget Group complied with all federal, state, and municipal laws and regulations (including contract and grant provisions) during the fiscal year ended August 31, 2002.

If needed, Please enter Additional Control Self-Assessment Information in the following space: