

Self-Assessment Certification Form

Unit name: _____

Certification for fiscal year ending: _____

Certified by: _____

Title: _____

Date: _____

To the best of my knowledge, I certify the following regarding the department (or departments) under my management for the fiscal year indicated above. Any exceptions to the individual items below are discussed in the attached "Certification Exceptions" document.

1. Financial and personnel information have been entered in the respective University computer systems as directed and in a timely manner.
2. All contractual obligations have followed the University's policies and procedures for administration of contracts.
3. All contractual obligations or third-party agreements have been properly disclosed.
4. No fraud, or any facts indicating possible fraud, occurred that have not been properly disclosed.
5. All major assets (e.g., equipment, furniture) are accounted for and properly maintained.
6. There has been no unauthorized use of University facilities or assets.
7. No material hazards exist that could lead to personal injury or health problems.
8. No unreported issues exist that could have a material negative financial or public relations impact.
9. There are procedures in place to safeguard financial and personnel records.
10. There are no material deficiencies or weaknesses in the internal controls employed.

Signature: _____

Certification Exceptions

Please discuss below any exceptions to the certification items above. The following rules should be used:

- Ideally, there should be no exceptions. That is, all problems should be resolved prior to the completion and signing of this document. In this case, enter the following text below: “No exceptions.”
- If there are exceptions, enter the certification item number, and follow it with a detailed discussion of the exception, the actions taken to address each exception, and the outcomes of those actions. Example: “5. The laptop assigned to Dr. John Doe at the beginning of the fiscal year is missing, and no theft had been reported to the University Police. A report was filed with the Police on 7/5/2005, and replacement laptop was obtained through SafeGuard Insurance. The replacement laptop was delivered to Dr. John Doe on 9/14/2005, and has been with him since.”
- If necessary, enter more than one exception for each certification item.
- Separate different entries with a blank line.
- Be as detailed as possible in your disclosure of exceptions.

Signature: _____