

CONTROL SELF-ASSESSMENT

ORGANIZATION AND MANAGEMENT

1. Have lines of authority and responsibilities for administration of the unit been established and clearly communicated?

Yes No Not Applicable

2. Is there adequate segregation of duties to prevent one person from having complete control over all aspects of any financial transaction?

Yes No Not Applicable

3. For business and financial systems that are critical to the operations of the unit, does unit management provide up-to-date documented policies and procedures that establish how unit personnel are to implement University standards prescribed in University policy and procedures?

Yes No Not Applicable

4. Has unit management identified their information security needs and implemented appropriate security measures including training and monitoring employees with regard to their responsibility for information security, especially given the increased risk associated with access to data in the new integrated systems?

Yes No Not Applicable

5. Are reports of the unit's productivity, transactions, and financial status reviewed on a regular basis by the unit head?

Yes No Not Applicable

6. Do the reports of the unit's productivity, transactions, and financial status enable management to assess progress toward unit objectives?

Yes No Not Applicable

7. Do the reports of the unit's productivity, transactions, and financial status provide benchmarking of unit functions with like units at peer institutions to assess the relative efficiency of the unit's operation?

Yes No Not Applicable

8. Have procedures been implemented in the unit to provide for an independent verification of the accuracy of the data in management and monitoring reports?

Yes

No

Not Applicable