

Annual Unit Internal Controls Certification Process



	Key Responsibilities			
	Dean / VP / Director	Lead Unit Admin	IA Security Unit Liaison	Dept Chair
Unit Certification	<ul style="list-style-type: none"> Respond to all questions to the best of their ability Sign and return by appropriate date 	<ul style="list-style-type: none"> Assist Dean/VP / Director in completion of Unit Certification Provide overall coordination of Certification process 	<ul style="list-style-type: none"> Assist Dean / VP / Director in answering the Information Assurance question 	
Internal Control Gap Analyses		<ul style="list-style-type: none"> Ensure applicable Gap Analyses are completed at the appropriate levels Ensure all identified gaps have corrective action plans 		
Management Reports	<ul style="list-style-type: none"> Review Management Reports for consistency with expectations 	<ul style="list-style-type: none"> Assist Dean/VP /Director in their review of Management Reports 		<ul style="list-style-type: none"> Review Dept Management Reports for consistency with expectations (If Unit Sub-Certifies)
Written Procedures		<ul style="list-style-type: none"> Ensure all applicable Written Procedures are completed and up to date 		
Sub - Certification (optional)		<ul style="list-style-type: none"> Coordinate departmental sub-certification process 		<ul style="list-style-type: none"> Complete Dept Sub-Certification Respond to all questions to the best of their ability