

FY 2021 Unit Internal Controls Certification Plan

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| | <u>FY 2019</u> | <u>FY 2020</u> | <u>FY 2021</u> | |
|--|----------------|--------------------|----------------|--|
| Fiscal Stewardship | X | | X | |
| Financial Results | X | | X | |
| Ethics, Integrity & Compliance (Promoting Hotline) | | | | |
| - Displayed Posters | X | | | |
| - Sent Communication | X | | X | Refer to Importance of Reporting |
| Internal Controls | | - See Next Slide - | | |
| Conflict of Interest / Commitment | X | X | X | |
| Information Assurance | X | X | X | Deployed CrowdStrike Falcon |
| University Audit Reports | X | | X | |
| Identity Theft (Red Flags) | X | | Delete | Impacts 9 certifying units |
| <u>Other:</u> | | | | |
| Eliminate Non-Essential Expenditures | | X | | |
| Tracking of COVID Program Code Activity | | X | | |
| Process to Track U-M Owned Equipment used offsite | | | X | Refer to Interim Guidance |

Gap Analysis Plan for FY 2021 Unit Certification

| | <u>FY 2019</u> | <u>FY 2020</u> | <u>FY 2021</u> |
|---|----------------|-------------------------------------|--|
| Employment | X | X | X |
| T&E (Concur) PCard | X | Adjusted For Pandemic | X Delete for FY21 (activity down 75%) |
| Cash/Checks Credit Card | X | | X |
| Gift Cards Journal Entry | X | | X Delete for FY21 (activity down 80%) |
| Financial Aid HSIP | X | | X |
| Stewardship of Gifts Capital Equipment | X X | | X "Proper Controls in place" |

Notes:

- All gap analyses guidance are updated and available each year on the Internal Controls Website
- Units are still expected to have proper controls in place for all processes, even if not part of the Annual Unit Internal Controls Certification