

Online Gap Analysis Tool Step-by-Step

Overview

The Internal Controls certification process requires that units complete a gap analysis for applicable finance-related processes for their departments on an annual basis to ensure proper controls are in place or identify corrective action plans to address control gaps. The M-Reports Online Gap Analysis tool provides units with the ability to complete their responses for each department within the unit and for management to review the results.

Navigation

Log into *Wolverine Access* (<http://wolverineaccess.umich.edu>) > *Faculty & Staff* > *Reporting* > **M-Reports**.

M-Reports Landing Page

1 COMPLIANCE

2 Internal Controls Other Reports/Tools

3 Gap Analysis

1. Hover over the **COMPLIANCE** tab.
2. Hover over **Internal Controls Other Reports/Tools**.
3. Click **Gap Analysis**.

The Gap Analysis Summary by Process page shows a list of departments and completion status indicators for each of the major processes.

Gap Analysis by Department - Summary by Process Page

4 2022

5 Print

7

8 Not Started

9 N/A

10

Dept ID	Dept Descr	Last Updated	% of depts with gaps	PCard		Employment	
				Status		Status	
689000	Office of Assoc VP for Finance	3/21/2022	67 %	Not Started	N/A	Not Applicable	N/A
689001	AVP - Finance Projects	3/21/2022		Not Applicable	N/A	Not Applicable	N/A
689005	Finance Human Resources Office			Not Started	N/A	Not Started	N/A
690200	Wolverine Tower Building Mgmt	3/21/2022		Not Applicable	N/A	Not Applicable	N/A
691145	Tax Resources & Reporting	3/21/2022		Not Started	N/A	Not Applicable	N/A
691150	Sponsored Programs			Not Started	N/A	Not Started	N/A

4. To change the fiscal year, use the pulldown menu.
5. To mark all the questions of all processes Not Applicable for a department, click the **N/A** button to the right of the department ID. To undo that action, click **Undo**.
6. Enter the rationale for the N/A response in the **Reason** box and click OK (not shown).
7. To view additional processes, use the **horizontal scrollbar**.
8. To view a list of the departments with a status of Not Started or with identified gaps for a process, click the appropriate **percentage link**.
9. To access the gap analysis tool for a specific process and department, click **Not Started**, **Started**, or **Completed** in the appropriate row and column. If a process is not applicable to the department, click **N/A**.
10. Click any linked process to view the same information by sub-process.

Gap Analysis by Department – Summary by Process Page continued

2022

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FY2022 Gap Analysis By Department - Summary by Process
NOTE: New/additional items for FY2022 are identified in red text. Bold items indicate examples of common control issues identified across the university.

Dept ID	Dept Descr	Last Updated	PCard		Employment	
			Status	Status	Status	Status
		% of depts with gaps				
		% of depts Not Started	67 %		33 %	
689000	Office of Assoc VP for Finance	3/21/2022	Not Started	N/A	Not Applicable	N/A
689001	AVP - Finance Projects	3/21/2022	Not Applicable	N/A	Not Applicable	N/A
689005	Finance Human Resources Office		Not Started	N/A	Not Started	N/A
690200	Wolverine Tower Building Mgmt	3/21/2022	Not Applicable	N/A	Not Applicable	N/A
691145	Tax Resources & Reporting	3/21/2022	Not Started	N/A	Not Applicable	N/A
691150	Sponsored Programs		Not Started	N/A	Not Started	N/A

- To indicate all the questions in a process are not applicable to a department, click the appropriate **Click to answer all as NA** link in the Process not applicable column.
- Note:** This is the same action as using N/A for a department on the Gap Analysis Summary by Process page. See Step 9.
- To go to the first question in a process for a department, click the appropriate **Completed, Started, or Not Started** link in the appropriate process column.
- Click **Print** to view/print all responses for a department.

Gap Analysis by Department – Printable Questionnaire

2022

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FY2022 Gap Analysis By Department 689000 Office of Associate Vice President for Finance
NOTE: New/additional items for FY2022 are identified in red text. Bold items indicate examples of common control issues identified across the university.

PCard
Key Roles
PCard owner criteria
Unit has process to determine who is authorized to possess & use PCard holder criteria stricter than University guidelines).

Answer

Word
Excel
PowerPoint
PDF
TIFF file
MHTML (web archive)
CSV (comma delimited)
XML file with report data
Data Feed

- Click to export to word, excel, PDF, etc.

Questionnaire Page

FY2022 GAP ANALYSIS BY DEPT - PCARD - 689000 OFFICE OF ASSOC VP FOR FINANCE

PCard Employment Journal Entry Employee Travel & Expense (Concur) Unit-Administered Financial Aid Financial Stewardship of Gift

15 Key Roles Training PCard Application PCard Profile/Limit Changes Closing/Suspending PCard Lost or Stolen Card

[Printable Version](#)

PCARD OWNER CRITERIA

Unit has process to determine who is authorized to possess a PCard (may establish local guidelines for PCard holder criteria stricter than University guidelines).

Is Control in Place? 16 Yes No NA

Comments:

Corrective Action Plan: 18

Timing for Corrective Action Plan: 19

Prior Year(s) Answers 17

User Name	Year	Answer	Comment	Action Plan	Timing
chiea	2018	NA	See DeptIDs 691100 (Fin		

Cancel Changes Save Next(Save) 21

15. To move to a specific **sub-process**, click on it. To move to a specific question, hover over the **sub-process**. Click on the appropriate question in the resulting list.

16. Click the appropriate **response** to the question.

Note: Italicized text within a question indicates a change for the current fiscal year. If the question/control is new for the current fiscal year, the question will include the text NEW CONTROL.

17. If appropriate, review the **prior year's answers**.

18. If applicable, type information in **Comments** box and/or the **Corrective Action** area.

Note: Comments are required for a No response.

19. If appropriate, use the **Timing for Corrective Action calendar** to specify a completion date for the corrective action plan.

20. Use the **vertical scroll bar** to move down through the questions in the sub-process.

21. When you have responded to the last question, click **Next (Save)** to move to the questions for the next sub-process. If you need to go back to the previous sub-process, click **Prev (Save)**.

Note: Answers are ONLY saved when Save has been clicked. If you are logged out due to a timeout or if you click on another button or tab, you will leave without saving your responses.

Related Resources

- Office of Internal Controls Web site: <http://www.finance.umich.edu/controls>

Additional Assistance

Questions, feedback, and requests for enhancements can be submitted to Internal Controls:

- OfficeofInternalControls@umich.edu
- Cory Belote, ctrem@umich.edu