

# *Self-Assessment Survey for Fiscal and Administrative Controls*

Attachment to a [DDD Memorandum](#) from:  
Office of the President  
University of Florida

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March 14, 1997

FROM: Nur Erenguc, Inspector General

The University of Florida fiscal and administrative structure is based on a decentralized model. Within this structure, the deans, directors, and department heads are responsible for unit procedures, and internal controls. The internal controls should be designed to safeguard university assets and to ensure that transactions are processed efficiently, accurately, as intended and in compliance with applicable laws, rules, policies and procedures. To assist you in evaluating your unit's internal controls and to increase your understanding of those controls, we have developed a self-assessment survey. It consists of "Yes/No/NA (not applicable)" questions that address controls in a variety of business processes, such as, Planning and Policy Making, Budgeting and Performance Measurement, Procurement, Personnel and Fiscal Management. These self-assessment surveys will also assist us in our periodic risk assessments of the entire university.

The success of this "self-assessment" effort will depend on sincere and open discussions of the current procedures and on the accurate completion of the survey. To [increase your understanding](#) of internal controls, the survey is designed to link critical control issues and University policies and procedures and discussions that further explain the objectives of the controls. This survey is not part of an audit or other review activity and results of the survey will only be available to you if you choose to print it upon completion. The Office of Inspector General will utilize the control self assessment survey results to evaluate university-wide controls globally and not at the unit level.

Please note that if the business function is performed at the college level for multiple units, only one self-assessment survey is required; however, if it is performed separately at the unit level, a self-assessment survey or certain sections of it should be completed for each unit.

The Office of Inspector General is using a Windows based software product called the Controls Assessment Tool (CAT) that makes answering the questions on the self-assessment survey as easy as pointing your mouse and clicking on the appropriate response. Attached you will find instructions and additional information related to the survey and procedures for how to obtain the preferred format. Please note your questionnaire format preference on the enclosed information sheet and return it to our office by the first week in April 1997.

Thank you for your cooperation in implementing this new program. If you have questions or need further assistance please contact Carol Glover at 392-1391, ext. 31.

Attachments:

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**.PDF** - Use [Acrobat® Reader](#) to print or view the following file:

[CAT Information Sheet](#) (catform.pdf, 32.1 kb)

**.HTM** - HTML Documents:

[CAT Information Sheet](#) (96dd097d.htm, 2.4 kb)

[Know Yourself, Evaluate Yourself](#) (96dd097c.htm, 6.8 kb)

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