Internal Control Assessment
Section 5: Monitoring

Agency: Mississippi Valley State University
Bus Area: Chief of Staff
Fiscal Year: 2017-2018

	Question	Yes	No	NA	Comments
	Monitoring Questionnaire				
1	Are the internal controls being monitored and reviewed by management to determine if they are operating as intended?	✔			Policies and procedures are continuously monitored to ensure compliance.
2	Does management solicit input from staff on opportunities to improve the effectiveness of controls?	✔			Policies and procedures are discussed within responsible areas to make changes as needed.
3	Does the agency evaluate the internal control system when there are major strategy changes?			✔	
4	Has management established performance measures for processes?	✔			The established performance measures include periodic reports of results against those measures
5	Does management receive periodic reports on performance measures for evaluation?	✔			The internal auditor provides reports.
6	Are internal control deficiencies reported to the person directly responsible for the activity and to a person one level higher?	✔			Deficiencies are reported to the direct supervisor and the appropriate Vice President.
7	Does the department have a process to ensure that prior-year audit findings have been corrected?	✔			The department reviews as well as the internal auditor.
8	For a control deficiency, does the agency reassess and modify the control to prevent compliance problems?	✔			Once a deficiency has been identified, it is retested to ensure the controls implemented are sufficient.
9	Does the agency notify the IT department within 24 hours that an employee has been terminated?		✔		The process is currently under review.