

INTERNAL CONTROL SELF-ASSESSMENT

****Departmental personnel should review the policies in their entirety to familiarize themselves with the rules and requirements for the particular area.*

FINANCIAL

Yes No N/A

A. ACCOUNT RECONCILIATION AND REVIEW

Related Policies:

[Responsibilities of Signatory Officers](#)

[Fiscal Misconduct](#)

[Code of Ethics and Conduct](#)

1. **Departmental account activity, including payroll transaction details, are reconciled and reviewed (for accuracy, completeness, and compliance) on a monthly basis. Documentation of each review, any noted exceptions, and resolution of exceptions are maintained.**

Note: Reconciliations are a comparison of transaction documentation (i.e. cash reports, invoices, timesheets, etc.) to SAP.

The University's Responsibilities of Signatory Officers policy states, "Each authorized signer is responsible for reviewing on a regular basis all account activity including payroll transaction details for accuracy, completeness, and compliance with University of Mississippi policies and procedures, as well as any applicable external agency requirements."

2. **Reconciliations are reviewed in a timely manner, and the review is documented.**

If reconciliations are not performed by the signatory officer/department head (i.e. administrative staff performs reconciliation), he/she should review, and the review should be documented (i.e. dates and initials).

B. CASH RECEIPTING

Related Policies:

[Cash Receipting and Reporting](#)

[Collection and Remittance of Sales Tax](#)

Unrelated Business Income

Records Retention

Fiscal Misconduct

Code of Ethics and Conduct

1. Documentation exists to support deposits are reconciled to SAP. _____

Reconciliations should be performed to help ensure accuracy of deposits, and documented to substantiate performance.

2. Departmental cash receipting procedures are in accordance with the Cash Receipting and Reporting policy. _____

Requirements include:

- Using (1) The University of Mississippi official receipt and the Cash Report, Form UM-5.
- Depositing “*once accumulated funds have reached \$100. Deposits should be processed no less than weekly regardless of the amount of the receipts.*”

Copies of signed cash reports should be retained. Electronic (scanned) copies of signed cash reports (with yellow copies of receipts, Bursar receipts, etc.) could be retained instead of hard copy documents if proper backup procedures are in place.

Departments are responsible for record retention requirements. According to the University’s Records Retention policy, departmental copies of cash reports should be retained for a period of 3 years. However, some sponsored program account records may need to be retained longer depending on the length of the award and the agency requirements.

Departmental employees who are involved in the cash receipting process should review and become familiar with the policy.

3. Duties related to receipting, custody, and reconciliation of funds are adequately separated. _____

Procedures should be established to ensure duties related to receipting, custody, and reconciliation of funds are adequately separated.

4. Funds are adequately safeguarded. _____

Access to the funds should be restricted to as few individuals as possible and kept in a secured location until deposited.

5. **The Accounting Office was consulted to determine if revenue collected from the sale of goods/services (i.e. t-shirt sales, book sales, facility rentals, etc.) are subject to sales tax or other taxes.** _____

The Accounting Office will assist in determining whether sales are subject to tax.

C. PETTY CASH

Related Policy:

[Petty Cash](#)

[Fiscal Misconduct](#)

[Code of Ethics](#)

1. **Petty cash funds are adequately safeguarded.** _____

Cash funds are the sole responsibility of the custodian. The custodian is personally responsible for all losses attributed to negligence on his/her part. The custodian is also responsible for safeguarding petty cash and must ensure the petty cash box is locked in a filing cabinet or safe when not in use. In case of loss or theft, the custodian must notify Internal Audit (and UPD, if theft).

Petty cash funds should be used primarily for change purposes. It is recommended that small purchases should be made using the departmental procurement card when possible.

The University's Petty Cash policy states, "*Personal business, such as cashing checks, should not be transacted with petty cash funds. Additionally, IOUs or "borrowing" petty cash funds for personal use is implicitly disallowed.*"

2. **Documentation exists to support periodic petty cash counts by someone other than the custodian or the person handling the funds on a day-to-day basis.** _____

Independent counts must be performed periodically to help ensure the established amount is maintained in the petty cash fund at all times. This will also help reduce the risk for overages and shortages. Documentation should be maintained to support the counts.

3. **Documentation exists to support petty cash reconciliations.** _____

Petty cash funds should be reconciled by the fund custodian on a regular basis. Total amount on-hand plus unreimbursed receipts should always equal the general ledger total for the fund.

Departments are more susceptible to loss if petty cash is not periodically reconciled.

Reconciliation records should be available for review by auditors.

4. The petty cash fund was properly established through the Accounting Office.

The departmental chair/director must submit a written request to the Accounting Office detailing the desired amount, purpose and proposed custodian of the fund.

D. TAX LIABILITY

Related Policy:

Collection and Remittance of Sales Tax

1. Proper procedures are in place to ensure sales tax is reported accurately and timely.

The University's Collection and Remittance of Sales Tax policy states, "Each department or school is responsible for the collection of sales tax when a sale or purchase in his/her area is subject to sales tax. The Accounting Office will assist in the determination of whether sales are subject to tax..."

If subject to sales tax, "Departments must submit a completed return to the Accounting Office no later than the 15th of the month in which the return is due. Included with the return should be a memo indicating the general ledger and profit center that should be charged for the sales tax.

Failure to comply with the above deadline may result in late filing penalties or interest assessed by the state. In the event such charges are assessed, they will be the responsibility of the department(s) that failed to submit timely information."

E. PROCUREMENT

Related Policies:

Procurement Card Liability

Procurement Card Violations

Responsibilities of Signatory Officers

Documentation of Financial Transactions

Procurement Services policies (Purchasing and Procurement Card)

Record Retention

Fiscal Misconduct

Code of Ethics and Conduct

1. **Input, approval, and account reconciliation are adequately separated.** _____

Key duties and responsibilities should be divided or segregated among staff members to reduce the risk of error or fraud. This should include responsibilities for input, approval, and account reconciliation. No one individual should control all key aspects of a transaction or event.

2. **Purchasing documentation, including Purchasing Notification Reports, is reviewed by the departmental chair/director.** _____

Expenditures should be reviewed to help detect errors and inappropriate purchases. Errors should be reported immediately, and a follow-up performed by departmental personnel to ensure adjustments have been made correctly.

3. **Adequate documentation is submitted by the department to support expenditures.** _____

Adequate documentation includes original itemized invoices/receipts, clear business purpose, and attendee lists (for food purchases).

4. **Two written, signed quotes are submitted for purchases between \$5,000 and \$50,000.** _____

5. **Sealed bids are obtained for purchases greater than \$50,000.** _____

6. **All procurement cards are kept in a secure place such as a locked drawer or file cabinet.** _____

Each cardholder is responsible for the procurement card issued in his/her name and must take all necessary actions to ensure the card is maintained in a safe manner and follows all procurement card guidelines.

Access to the procurement card should be carefully controlled and all charges should be reconciled promptly to ensure appropriateness. Any questionable activity, or lost/stolen cards, must be reported to the Departmental Card Administrator immediately.

7. **The signatory officer signs his/her own name on the Request for Payment form.** _____

Stamped signatures, initialed signatures, and forgeries are not acceptable.

8. Adequate documentation is maintained on file within the department to support expenditures not processed through Procurement Services (i.e. interdepartmental charges).

Adequate documentation includes original itemized invoices/receipts, clear business purpose, and attendee list (for food purchases).

Electronic (scanned) copies of interdepartmental charges (i.e. Aramark, Inn at Ole Miss, etc.) could be retained instead of hard copy documents if proper backup procedures are in place.

Departments are responsible for record retention requirements (i.e. 7 years) for all expenditures not processed through Procurement Services. However, some sponsored program account records may need to be retained longer depending on the length of the award and the agency requirements.

F. LONG DISTANCE CHARGES

Related Policies:

[Long Distance Authorization Codes](#)

[Fiscal Misconduct](#)

[Code of Ethics and Conduct](#)

1. Documentation exists to support that long distance charges are reviewed by the responsible employee.

Employees possessing a long distance authorization code must review detailed charges monthly (on the Telecommunications website) to verify that they, and not someone else, placed the calls and to ensure charges are business related. The review should be documented.

2. Documentation exists to support that long distance charges are reviewed by the departmental chair/director or designee.

Departmental chairs/directors are ultimately responsible for all activity on accounts for which they have signatory authority. This responsibility includes inappropriate (personal or fraudulent) long distance telephone calls placed by departmental employees. To protect him/herself and the University, the departmental chair/director should perform monthly documented reviews. Proper documentation is vital in providing a record that departmental long distance charges have been reviewed for appropriateness and compliance.

The long distance authorization code IS NOT to be used for personal calls. If so, that employee must reimburse the University the cost of the call plus 7% sales tax.

University authorization codes should be safeguarded.

G. TRAVEL

Related Policies:

[Travel Reimbursement](#)

[Travel Authorization](#)

[Procurement Services policies \(Travel\)](#)

[Fiscal Misconduct](#)

[Code of Ethics and Conduct](#)

1. Travel forms have original and appropriate signatures. _____

Employee, signatory officer/department head, and next level supervisors must sign their own names. **Stamped signatures, initialed signatures, and forgeries are not acceptable.** Travel Reimbursement Vouchers must be signed by the employee and cannot be completed or signed in pencil. International Travel receipts must be converted to US dollars on the Travel Reimbursement Voucher and be accompanied by the conversion rate used.

Also, according to the University's Travel Authorization and Travel Reimbursement policies:

- Travel forms for department heads “*must be signed/approved by their dean/administrative head.*”
- Travel forms “*for senior management (i.e., vice chancellors) and department heads with a direct reporting line to the Chancellor, must be signed/approved by the Vice Chancellor for Administration and Finance, or his designee.*”
- “*Travel reimbursement forms for the Vice Chancellor for Administration and Finance must be signed/approved by the Chancellor, or his designee.*”
- “*The signatory officer for the account that will fund the travel must also sign the travel reimbursement form.*”

2. If a travel advance is received, a travel reimbursement voucher is submitted to Procurement Services to clear the travel advance. _____

According to the University's Travel Advances policy, “*It is the employee's responsibility to clear the advance. If the advance is not cleared within 10*

days after the end of the month in which the travel was completed, the difference will be deducted from the employee's next reimbursement or deducted from the next scheduled payroll if no other reimbursements are outstanding."

- 3. If flights are not booked through one of the contract travel agencies, two comparable airfare quotes must be included in the travel documentation.**

According to the University's Airline Travel policy, "For all flights that are not booked through one of the contract travel agencies, the University must maintain in its files a cost comparison showing a minimum of two (2) fares. If you purchase from an online source, such as Orbitz, Delta.com, or Travelocity, the 2nd comparable quote must come from a different online source and be submitted with your airfare receipt attached to your travel reimbursement. This cost comparison must show the fare and any issuance cost and must show a savings, and shall be submitted along with the employees' Travel Reimbursement Voucher..."

"If the employee must book a flight at a price in excess of the lowest rate on the cost comparison, the traveler must, prior to booking the flight, submit a Waiver Request to Procurement Services and include the amount of cost and the justification of using that fare on the waiver."

- 4. Employees are reimbursed for actual costs of meals not to exceed the daily maximum for the location.**

- 5. Rental cars are used only when there is a demonstrated cost savings over other modes of transportation and use is not strictly for the traveler's convenience.**

- 6. Conference brochures/meeting agendas are included with travel documentation as evidence of the expenditure.**

- 7. Taxi receipts submitted for reimbursement have complete information, such as date, amount, origin and destination.**

- 8 Major expenses incurred while on official travel for the University must be documented with original itemized receipts.**

Expenses that require receipts are, "Lodging, Airplane, train and bus tickets, Baggage charges original receipt required over \$10.00 per claim, Registration fees, Car rental, Taxi or limousine service, if amount claimed exceeds \$10.00, Parking or toll charges, if amount claimed exceeds \$10.00, Gasoline charges, Banquet meals that cause the total daily meal reimbursement to exceed the maximum daily meal allowance.

PROPERTY MANAGEMENT

Related Policies:

[Property Exceptions](#)

[Procurement Services policies \(Property Control\)](#)

[Fiscal Misconduct](#)

[Code of Ethics and Conduct](#)

- 1. Equipment purchases of \$1,000.00 or more (and all exception items) are visibly tagged with a university inventory number and included on the department's inventory list.** _____

The University's Inventory Requirements policy states, "*Primary inventory includes all equipment purchases of \$1,000.00 or more (and all exception items) that are required to be numbered and included on the property inventory list of any department and reported to the State Property Office... It is the responsibility of the department chairperson or his/her designee to assist the Property Office in identifying and labeling these items.*"

The inventory number label must not be removed from an equipment item except by Property Control personnel.

- 2. Documentation exists to support annual verification of departmental inventory.** _____

An employee within the department should be assigned the responsibility of performing annual inventory verifications to help ensure accuracy. Missing items should be investigated, resolved and analyzed for possible control deficiencies. The annual inventory should be documented (i.e. an inventory print-out with initials and date).

- 3. Documentation exists to support the use of Loan Equipment Receipt forms for removal of property from campus.** _____

Equipment Loan Receipt forms should be consistently prepared prior to the removal of university equipment. Once completed, the original form should be sent to Property Control, and a copy maintained on file and renewed annually.

- 4. Secondary inventory, costing less than \$1,000.00 are identified with a label stating "Property of The University of Mississippi."** _____

The University's Inventory Requirements policy states, "*...department chairs are responsible for keeping up with this equipment and should use the same procedures when loaning or disposing of these items.*"

- 5. Old, unusable property, including non-equipment items, is salvaged in**

a timely manner.

____ _

University property should be salvaged once it is determined to be old and unusable. A UM Property Disposal Report must be filed with Property Control to request authorization to salvage any equipment (primary inventory and secondary inventory).

H. ACCOUNTS RECEIVABLE

Related Guidance:

[Fiscal Misconduct](#)

[Code of Ethics and Conduct](#)

[Miss. Const. Art. 4, Section 100 \(Release of obligation or liability owed to State or political subdivision\)](#)

- 1. Monthly aging schedules or other adequate tracking methods are used/documentated to track past due accounts.**

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Schedules should be maintained to help ensure payments for goods / services sold on account are collected timely.

- 2. Documentation exists to prove timely/routine attempts to collect past due accounts.**

____ _

Since a liability to the State can only be eliminated through payment, employees should make routine attempts to collect these debts and maintain documentation of their efforts (i.e. copies of collection letters, log of collection calls, etc.).

- 3. Payroll deductions / Bursar charges are uploaded in a timely manner and are monitored adequately.**

____ _

Payments for goods / services sold on account should be collected timely.

- 3. Duties related to receiving funds, posting customer accounts, and reconciling are adequately separated.**

____ _

Procedures should be established to ensure duties related to receiving funds, posting payments to customer accounts, and reconciliation are adequately separated.

J. UNIVERSITY'S TAX IDENTIFICATION NUMBER

Related Policies:

[Fiscal Misconduct](#)

[Code of Ethics and Conduct](#)

1. **The University's tax identification number is not used by external organizations (i.e. professional societies, student organizations, etc.).** _____

The University's tax identification number should not be used by any external organization (i.e. professional societies, student organizations, etc.) or department on any bank account that is not an official university account. An official university account is one whereby the spending authority falls under the purview of the State of Mississippi and the University.

HUMAN RESOURCES

A. PAYROLL PROCESS

Related Policies:

[Salary Increases](#)

[Departmental Time Record](#)

[Fiscal Misconduct](#)

[Code of Ethics and Conduct](#)

[Responsibilities of Signatory Officers](#)

[Record Retention](#)

1. **Timesheets are signed by the employee and supervisor.** _____

Departments should utilize the online Employee Self-Service (ESS) Time Entry/Approval application in myOleMiss. Please contact the Payroll office for more information.

The University's Departmental Time Record policy states, "All departments are required to utilize Form UM4/HR12 unless time is being recorded using the Employee Self-Service (ESS) time management application on the myOleMiss portal. Time recorded and approved electronically via the ESS application is retained within SAP...."

“...For those departments who are not utilizing the ESS application, Form UM4/HR12 must be prepared for hours worked each payroll period for non-exempt (hourly) employees. Form UM4/HR12 must also be prepared for leave time taken within each payroll period for non-exempt employees and eligible exempt employees...”

The form must be signed by the employee and reviewed and signed by the department head or his/her designee (i.e. employee’s direct supervisor). Stamped signatures, initialed signatures, and forgeries are not acceptable.

2. Hours and/or leave time are entered and approved by two different individuals.

This segregation of duties will help ensure errors are detected and corrected before payroll is processed.

For the ESS application, employees must enter their own time, and only authorized approvers must approve their employees’ time. **Logins (webids and passwords) must not be shared.**

For those departments who are not utilizing the ESS application, the University’s Departmental Time Record policy states, *“To maintain a separation of duties, each department must designate one employee who is responsible for verifying and entering the form data into SAP, and another employee who is responsible for SAP data entry verification and approval.”*

3. Timesheets are maintained by the department for all employees.

Time recorded electronically via the ESS application is retained within SAP.

Departments who are not utilizing the ESS application must retain all Forms UM4/HR12 for a period of seven (7) fiscal years. However, some sponsored program account records may need to be retained longer depending on the length of the award and the agency requirements.

According to the University’s Departmental Time Record policy, *“These forms serve as payroll records for exempt and non-exempt employees, and activity reports for non-exempt employees paid from federal projects/grants...The departmental copy is the official record of the University and must be readily available for audit from state or federal agencies.”*

B. HOURS WORKED

Related Policies:

[Departmental Time Record](#)

[Employment of Students](#)

[Code of Ethics and Conduct](#)

1. Hours worked are properly monitored and approved. _____

When timesheets are signed (or when entered and approved in ESS application), employees and departmental chairs/directors (or designees) are certifying the hours were worked and/or leave was taken as reported.

2. Student employees are not working more than the maximum amount of hours noted in the Employment of Students policy. _____

There is a maximum 25 hours per week for all US citizens or permanent resident and 20 hours maximum for international student employees on F-1 or J-1 student visa.

See the Graduate Student Employees Course Load policy regarding graduate student work hours and course load.

C. COMPENSATORY TIME AND OVERTIME

Related Policy:

[Fair Labor Standards Act – Compensatory Leave – Overtime](#)

[Departmental Time Record](#)

[Fiscal Misconduct](#)

[Code of Ethics and Conduct](#)

1. Documentation exists to support proper approval and monitoring of compensatory time and overtime. _____

The University's Departmental Time Record policy states, "For those departments who are not utilizing the ESS application, Form UM4/HR12 must be prepared for hours worked each payroll period for non-exempt (hourly) employees. Form UM4/HR12 must also be prepared for leave time taken within each payroll period for non-exempt employees..."

The timesheet submission and approval through ESS or the signed Form UM4/HR12 by the employee and supervisor/department head certifies that the hours worked and/or leave taken were approved and are accurate.

Information from the University's Fair Labor Standards Act –
Compensatory Leave – Overtime policy include the following:

- Overtime is to be “paid to qualifying employees for any hours worked over forty (40) in a standard workweek at the rate of one and one-half (1.5) times the employee’s regular hourly rate of pay. The University’s standard workweek begins at 12:01 a.m. on Monday and runs through midnight on Sunday...”
- “...Any hours worked over forty (40) in a standard workweek will include holidays, as defined by the Official Holidays policy (HRO.PC.400.060) but does not include Major Medical and Personal Leave...”
- “...The Act authorizes a public agency to provide compensatory time off in lieu of monetary overtime compensation....
Compensatory Leave is the University’s preferred means of overtime compensation, however each department has the discretion to determine its employee’s means of overtime compensation; either compensatory leave or overtime pay...”
- “...An employee and his/her supervisor must arrive at an agreement or understanding that compensatory time will be granted in lieu of monetary compensation prior to the performance of overtime work. This agreement is not required to be in writing, but a record of the compensatory time must be kept...”
- “...Compensatory Leave must be earned before it can be used and must be used prior to the use of accrued Personal Leave...”

D. LEAVE

Related Policies:

[Leave Guidelines](#)

[Leave without Pay](#)

[Personal Leave for Twelve-Month Employees](#)

[Major Medical Leave - 12-Month Employees](#)

[Major Medical Leave - 9-Month Employees](#)

[Fair Labor Standards Act – Compensatory Leave – Overtime](#)

[Fiscal Misconduct](#)

Code of Ethics and Conduct

1. **All non-exempt and exempt employees (including faculty) report leave time.**

Nine-month faculty must also report sick leave on timesheets in accordance with university policy.

2. **Documentation exists to support that leave usage is reviewed.**

Logins for the ESS application must not be shared. The departmental chair/director (or designee) must log in using his/her own credentials.

If the department is not utilizing the ESS application, timesheets must be signed by the departmental chair/director (or designee). Stamped signatures, initialed signatures, and forgeries are not acceptable.

3. **“First Day Illness” is used for the first 8 hours of an illness when appropriate.**

The University’s Major Medical (sick) Leave for Twelve-Month Employees policy states, “...*Personal (vacation) Leave, Compensatory Leave, or Leave Without Pay must be used for the first eight hours of an employee’s illness or illness of a member of the employee’s immediate family, except for regularly scheduled visits to a physician’s office or a hospital for the continuing treatment of a chronic disease or serious medical or mental health condition, as certified in advance by a physician...*”

E. SEPARATION FROM EMPLOYMENT

Related Policies:

[Separation from Employment](#)

[Terminal Interviews](#)

[Terminal Pay](#)

[Terminations](#)

1. **Departmental procedures are in place to help ensure termination documents are processed and appropriate university and departmental personnel are notified in a timely manner to stop payroll, cancel computer access and long distance codes, and retrieve keys, access cards, university equipment, etc.**

According to the University’s Terminations policy, *“It is the responsibility of the department chair or head to initiate papers for terminating employment of those members leaving the department; otherwise, persons leaving the University may receive salary checks after employment is terminated. In the event recovery of overpayment involves expenditures of funds or is impossible to accomplish, the department/unit chair or head is financially liable for such overpayment. Terminations of all employees are submitted on HR Form 3.”*

According to the University’s Terminal Interviews policy, *“...Terminating Employees and their department must complete the Exit Checklist Form prior to exiting the University. This form can be found on the Human Resources website.”* As noted on the form, once completed, a copy of the checklist must be forwarded to Human Resources.

- 2. **The Accounting Office has been contacted to change signatory officers and/or Purchasing Notification Report recipients.** _____

The Accounting Office must be contacted to change signatory officers and/or Purchasing Notification Report recipients anytime an employee transfers within or leaves the University.

F. ANNUAL STAFF PERFORMANCE APPRAISALS

Related Policy:

[Performance Appraisal for Staff Person](#)

- 1. **Annual staff performance appraisals are conducted for all employees and results are submitted through proper channels.** _____

The University’s Performance Appraisal for Staff Personnel states, *“...All regular staff members, including executive staff, are entitled to performance appraisal feedback on a regular basis. The staff member and the immediate supervisor should annually participate in a formal performance appraisal discussion. Each annual performance appraisal will be reviewed and acknowledged by the staff member and the appraisal will be included as part of the staff member’s personnel record...”*

Human Resources will provide supervisors notification prior to the scheduled review date.

CONFIDENTIAL INFORMATION

A. SAFEGUARDING CONFIDENTIAL INFORMATION

Related Policies:

[Employee Conflict of Interest](#)

[Information Confidentiality/Security](#)

[Right to Privacy](#)

[Privacy in the Electronic Environment](#)

[Access to Students' Records](#)

[IT Appropriate Use](#)

1. Adequate procedures are in place to safeguard confidential information (financial, student records, etc).

According to the Information Confidentiality/Security policy, “*UM department heads who oversee activities that involve access to or the storage of non-public customer information are required to put in place information security programs...*”

Safeguards include, but are not limited to:

- Restricting access “*to those who have a legitimate business reason for getting such information and are educated about confidentiality and customer privacy.*”
- Collecting “*only the information needed to perform a specific task*”. (A written policy addressing the specific purpose (which should be legitimate and use of this information should be established.)
- Securing and managing “*private, non-public customer information according to all applicable state and federal laws about its use, disclosure, and retention.*”
- Maintaining “*paper data...in locked rooms and physically secured file cabinets.*”
- Ensuring calls or other requests for customer information are “*routed to a designated individual who has been trained about its use, disclosure, and retention.*”
- Shredding (“*confetti shredded*”) paper records when no longer needed.

- When disposing electronic storage media, the media “*must be physically destroyed or reformatted or securely erased ...*”

The policy also states, “*Sensitive data should not be stored on externally hosted systems, including cloud-based storage systems, without a contract that is fully vetted for compliance with University policies.*” See the “*Permitted and Restricted Uses of Data*” table in the policy for more detail.

Documentation (i.e. signed confidentiality agreements, memos) should be maintained within the department to substantiate employees have been informed and educated regarding their responsibilities for safeguarding confidential information.

INFORMATION SYSTEMS

A. BACKUP AND RECOVERY

Related Policies:

[Information Confidentiality/Security](#)

- 1. Routine backup procedures have been established for departmental computers and servers.** _____

Departmental backup and recovery procedures must be established. Specific procedures, including how to backup and how often, should be documented and made available to all employees.

According to the University’s Information Confidentiality/Security policy, “*make full backups weekly*” and “*test the restore process*”.

B. COPYRIGHT LAW

Related Policies:

[IT Appropriate Use](#)

[Code of Ethics and Conduct](#)

- 1. Basic controls exist to ensure departmental computers/systems are not used to violate copyright law.** _____

The University’s IT Appropriate Use policy states, “*...Copyright law limits the right of a user to copy, download, distribute, edit, or transmit electronically another’s intellectual property, including written materials, images, videos, software, games, sounds, music, and performances, even in an educational context without permission...*”

C. SECURITY CONTROLS

Related Policies:

[Information Confidentiality/Security](#)

[Anti-Virus Protection for UM Computers](#)

[IT Appropriate Use](#)

- 1. Adequate controls exist to secure sensitive data, as well as equipment, against theft or physical damage.**

Physical access to computers systems (especially laptops) that contain confidential and critical data should be safeguarded against theft.

- 2. Access to university records are restricted through the use of unique user ids and passwords.**

Access to computers, servers, and systems that contain confidential and/or critical data must be restricted through the use of unique user IDs and passwords and firewalls.

- 3. The latest anti-virus software and operating system patches are installed on all departmental computers and servers.**

The latest anti-virus software and operating system patches should be installed on all departmental computers and servers.

- 4. Server containing critical and confidential information has a firewall.**

All servers within the department that contain critical and/or confidential information should have a firewall.

- 5. Server containing confidential information or open ports is registered in the Campus Server Registry.**

All servers, including computers, within the department that contain confidential information or open ports should be registered in the Campus Server Registry in myOleMiss.

MEDIA RELATIONS

Related Policies:

[Media Relations](#)

[Code of Ethics and Conduct](#)

A. MEDIA RELATIONS

- 1. Departmental personnel are aware of and have reviewed the university policy regarding dissemination of information to the public.** _____

The University's Media Relations policy states,

"In order to ensure all university messages are presented accurately and consistently, the office of University Communications is responsible for conducting and/or coordinating all contact with media (including print, broadcast, online, documentary, network television and other types of media outlets)..."

** Exceptions to this policy include athletics, which manages media relations through its sports information office. However, University Communications will be consulted regarding responses to all significant issues that have the potential reflect upon the image of the university."*

GENERAL

A. FACILITIES MANAGEMENT

- 1. The department maintains an accurate record of building and office keys/access cards.** _____

A departmental record of keys and/or access/cards issued and extra keys/cards kept on hand should be maintained for control purposes. Employees' access to facilities should be limited and restricted to only those who require access.

B. INTERNATIONAL EMPLOYEES

Related Policies:

[Employment of Foreign Nationals](#)

[International Student Employment](#)

[Code of Ethics and Conduct](#)

1. Departmental procedures exist to help ensure compliance with related university policies and procedures.

Departmental procedures must be in place to help ensure compliance with related university policies and procedures, and state and federal immigration laws.

Per the Employment of Foreign Nationals policy,
“*Employment at the University of Mississippi is subject to verification of an applicant’s eligibility for employment as required by immigration laws...*”

Per the International Student Employment policy, “
“*All non-U.S. citizens enrolled in courses at the University of Mississippi are considered to be international students by the university. Restrictions to the ability to work, number of hours and location of employment apply to all international students with the exception of those holding U.S. permanent resident status due to federal regulations. Additionally, international students are instructed to refer to the “Employment of Students” policy which gives hourly limits and other requirements for all university student employees...*”

2. Personnel are working closely with the Office of International Programs, Human Resources, and other appropriate offices.

Communication between personnel and the Office of International Programs, Human Resources, and other appropriate offices must be evident.

C. SCHOLARSHIP AWARD PROCESS

Related Policies:

[Code of Ethics and Conduct](#)

1. The department has established a formal process by which scholarship applicants are reviewed and selected.

Written policies and procedures should be developed for the departmental scholarship award process to ensure procedures are performed consistently and adequate documentation is maintained on file to support selection.

D. POLICIES AND PROCEDURES

2. The department maintains written departmental policies and procedures (i.e. desk manuals) for each of the above areas.

Written departmental policies and procedures:

- Provide clear direction for employees as well as establish values and ethical standards within the department.
- Help ensure data is recorded accurately and consistently.

- Help ensure procedures are performed in compliance with university policies, IHL policies, state law, and federal regulations.
- Can be used as a training tool for new or backup employees which will help maintain continuity of operations.

Once established, the policies and procedures should be reviewed periodically and updated as needed.

The policies and procedures should be communicated to departmental employees. Acknowledgement that they have read (i.e. annually, periodically, etc.) and understand the policies and procedures should be documented to help ensure accountability.