Fiscal Control and Internal Auditing Act (FCIAA)
Overview
Agenda

1. Welcome and Introduction
2. What is FCIAA?
3. Online Process
4. Overview of Roles
5. Process Flows
6. Resources
FCIAA Overview

WELCOME AND INTRODUCTION
Objectives

At the end of this session, you will be able to:

• Describe what FCIAA is
• List benefits of the online process
• Identify participant roles in the FCIAA process
• Explain your process flow for FCIAA
• Complete your part of the process using the FCIAA application
• Recognize where to find additional information
FCIAA Overview

WHAT IS FCIAA?
What is FCIAA?

- “fish-ah”
- Fiscal Control & Internal Auditing Act
- Annual process
- Required by State
- Each department must complete
- Ensures effective fiscal/internal controls are in place to protect University resources
FCIAA Overview

ONLINE PROCESS
Benefits of Online Process

- Easy to use
- Ability to track status
- Streamlined review
- Email notifications
- Uses less paper
- Forms stored automatically in system
FCIAA Overview

OVERVIEW OF ROLES
All Roles

Roles based on assigned activity:

- Submitter
- Approver
- College/Administrative Group Manager (UIC and UIUC only)
- College/Administrative Group Approver (UIUC only)
- Designated Reviewer (System Offices only)
- Campus Manager
- University Manager
- Administrator
Submitter Actions

1. Monitor email for announcement.
2. Log in to FCIAA application: https://apps.obfs.uillinois.edu/FCIAA/
3. Verify correct Chart/Org is available.
4. Click link under Chart/Org Code.
5. Answer questions appropriately.
6. Complete form.
   - May be saved for completion later or submitted for approval.
7. Monitor email for possible return notification.
Submitter – Initiating Form

FCIAA Submitter Overview

In-Process FCIAA Forms

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FY 2013

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Submitted FCIAA Forms

No FCIAA forms available in this category
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**Person Submitting FCIAA Form:** Cynthia McKendall [mckendal@illinois.edu](mailto:mckendal@illinois.edu)

**Approving Unit Head:** Michele Thompson [mthompsn@illinois.edu](mailto:mthompsn@illinois.edu)

## Asset Management

1. Changes, transfers, and deletion of assets are recorded promptly in unit equipment inventory records.
   - Learn more about Question 1
   - Additional Details (Required if answering No or Partial)

2. University property control decals are promptly affixed to equipment as required by University guidelines.
   - Learn more about Question 2
   - Additional Details (Required if answering No or Partial)
Submitter – Submitting Form

**Question 32**
Additional Details (Required if answering No or Partial)

**Question 33**
33. A system is in place to provide management with explanations of significant variances between budgeted and actual revenues and expenses.

FCIAA Retention Requirements:
Forms completed in this system do not need to be printed/retained in offline files. However, any supplemental documentation in support of FCIAA process should be kept for the current fiscal year, plus previous five fiscal years.

- Save FCIAA form for later
- Delete FCIAA form
- Submit Completed FCIAA Form
Approver Actions

1. Monitor email for announcement.
3. Log in to FCIAA application: [https://apps.obfs.uillinois.edu/FCIAA/](https://apps.obfs.uillinois.edu/FCIAA/)
5. Click link under Chart/Org Code.
6. Review form.
7. Take appropriate action:
   - Approve form
   - Return toSubmitter
Approver Overview

### FCIAA Approver Overview

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Approver – Approve or Return

summarize activities, programs, transactions and financial status.
Learn more about Question 32

Yes

33. A system is in place to provide management with explanations of significant variances between budgeted and actual revenues and expenses.
Learn more about Question 33

FCIAA Retention Requirements:
Forms completed in this system do not need to be printed/retained in offline files.
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Return to submitter

Approve FCIAA Form
1. Monitor email for notification; note deadlines.
2. Log in to FCIAA application: https://apps.obfs.uillinois.edu/FCIAA/
3. Click Tracking Report to see form statuses.
5. Click link under Chart/College Code.
6. Answer questions appropriately.
7. Complete Summary FCIAA Form.
   • May be saved for completion later
8. Submit completed Summary FCIAA Form for approval.
# College/Admin. Group Manager – UIUC Tracking Report and Summary Report

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# College/Admin. Group Manager – UIUC

## FCIAA College/Administrative Group Managers Overview

### Chart/College Code | College Name | Status | Last Updated
--- | --- | --- | ---
**FY 2014** | 1 KV | Liberal Arts & Sciences | Returned | 09/10/2013
**FY 2013** | 1 KV | Liberal Arts & Sciences | Approved | 09/19/2012
**FY 2012** | 1 KV | Liberal Arts & Sciences | Complete | 08/13/2013

### Approved Unit FCIAA Forms

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College/Admin. Group Manager – UIUC

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Yes

33. A system is in place to provide management with explanations of significant variances between budgeted and actual revenues and expenses.

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Save FCIAA form for later  Delete FCIAA form
Submit Completed FCIAA Form
College/Admin. Group Approver – UIUC

1. Monitor email for notification of completed Summary FCIAA Form.
2. Log in to FCIAA application: 
   https://apps.obfs.uillinois.edu/FCIAA/
3. Click link under Chart/College Code.
4. Review form.
5. Take appropriate action:
   - Approve form
   - Return to Submitter
College/Admin. Group Approver – UIUC

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<th>College FCIAA Forms/Memos</th>
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</table>
College/Admin. Group Approver – UIUC

summarize activities, programs, transactions and financial status.

Learn more about Question 32

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33. A system is in place to provide management with explanations of significant variances between budgeted and actual revenues and expenses.

Learn more about Question 33

FCIAA Retention Requirements:
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Return to submitter

Approve FCIAA Form
1. Monitor email for notification; note deadlines.
2. Log in to FCIAA application: https://apps.obfs.uillinois.edu/FCIAA/
3. Click **Tracking Report** to see form statuses.
4. Click **Summary Report** for form details.
5. Create Memo and obtain approval signature.
6. Click link under **Chart/College Code**.
7. Upload Memo into FCIAA application.
8. Submit completed Memo.
# College/Admin. Group Manager – UIC Tracking Report and Summary Report

## Tracking Report

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## Summary Report

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Fiscal Control and Internal Auditing Act (FCIAA) Certification

Attach the FCIAA memo for your College below. The memo should include all necessary signatures and will be available for upper level reviewers to view.

FCIAA Memo Information
Chart Code: 2 College Code: GF College Name: Applied Health Sciences Fiscal Year: 2014

Person Submitting FCIAA Memo: Jodi Wright jaw1725@illinois.edu

Memo file: Browse... No file selected.

Delete FCIAA memo

Submit Completed FCIAA Memo
Designated Reviewer – System Offices

- Reviews form(s) at department level
- Actions:
  1. Log in to FCIAA application: 
     https://apps.obfs.uillinois.edu/FCIAA/
  2. Click link under Chart/Org Code.
  3. Review form.
  4. Can return form to Submitter, if necessary.
Designated Reviewer – System Offices

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### Campus Manager/University Manager

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<th>Campus Manager Actions</th>
<th>University Manager Actions</th>
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<tbody>
<tr>
<td>Urbana-Champaign</td>
<td>• Reviews consolidated FCIAA forms within system.</td>
<td>• Reviews all FCIAA forms and memos.</td>
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<td>• Option to return consolidated form to College/Administrative Group Manager.</td>
<td>• Provides summary information and recommendations for consideration by President, for required reporting to the State of Illinois.</td>
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<tr>
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<td>• Completes university-level memo outside of system.</td>
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<tr>
<td>Chicago</td>
<td>• Reviews college-level FCIAA Memos within system.</td>
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<td>• Completes university-level memo outside of system.</td>
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<td>Springfield, System Offices</td>
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<tr>
<td></td>
<td>• Completes memo outside of system.</td>
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Administrator

- Each university, plus System Offices, has an Administrator.
- **Responsibilities:**
  - Enter deadlines in FCIAA application
  - Initiate system emails
  - Generate reminder emails
  - Answer questions
  - Close forms when process completed for FY...
Managing Users

- Applies to these roles:
  - College/Administrative Group Manager (UIC, UIUC only)
  - Campus Manager
  - University Manager
  - Administrator
- Ensures that roles belong to appropriate person
- Role Review notification email
- Should be completed pre-certification process
- Check [Managing Users in FCIAA job aid](#) for more information
FCIAA Overview

PROCESS FLOWS
Process Flow - UIUC

**Administrator**
- Initiates emails to FCIAA application users

**Submitter**
- Receives email, completes and submits form

**Approver**
- Reviews form for approval or rejects

**College/Admin. Group Manager**
- Reviews all departmental forms and may return to Submitter, if needed
- Completes and submits consolidated form within application

**College/Admin. Approver**
- Reviews consolidated forms for approval or rejection

**Campus Manager**
- Reviews consolidated forms and may return to Submitter, if needed

**University Manager**
- Reviews forms for all Charts and may return to Submitter, if needed

**Final reviews by Provost/Chancellor’s offices and OBFS AVP** occur outside of application.
Process Flow - UIC

Administrator

Initiates emails to FCIAA application users

Submitter

Receives email, completes and submits form

Approver

Reviews form for approval or rejects

College/Admin. Group Manager

Reviews departmental forms within application, and may return to Submitter, if needed

Creates and uploads signed FCIAA memo into system

Campus Manager

Reviews FCIAA memos

University Manager

Reviews forms for all Charts and may return to Submitter, if needed

Final reviews by Provost/Chancellor’s offices and OBFS EAVP occur outside of application.
Process Flow - UIS

Administrator

Initiates emails to FCIAA application users

Submitter

Receives email, completes and submits form

Approver

Reviews form for approval or rejects

Campus Manager

Reviews forms, can return to Submitter if needed

University Manager

Reviews forms for all Charts and may return to Submitter, if needed

Final reviews by Provost/Chancellor’s offices and OBFS Director occur outside of application.
Process Flow – System Offices

Administrator

Initiates emails to FCIAA application users

Submitter

Receives email, completes and submits form

Approver

Reviews form for approval or rejects

Designated Reviewer

Reviews form(s), can return to Submitter, if needed

Campus Manager

Reviews forms, can return to Submitter, if needed

University Manager

Reviews forms for all Charts and may return to Submitter, if needed

Final reviews by SAVP, CFO, Exec Director of University Audits, and President occur outside of application. Final certification letter, including results for entire University, sent to State Auditor General.
Fiscal Control and Internal Auditing Act (FCIAA)

FCIAA is a State-mandated program to aid Illinois State agencies in conducting reviews of their fiscal and administrative systems of internal control. The FCIAA Certification provides a mechanism for the University to report its internal control compliance. Annually, unit heads and financial officers are required to submit FCIAA Certification for each of their respective departments.

The University views the FCIAA Certification as an opportunity to work together to ensure effective fiscal/internal controls are in place to protect University resources.

Strong internal controls provide reasonable assurance that:

- Information is reliable, accurate, and timely
- Policies, plans, procedures, laws, regulations, and contracts are followed
- Assets (including people) are safeguarded
- Resources are used in an economical/efficient manner
- Established objectives and goals are met

Department heads/fiscal officers are encouraged to review the items covered in the FCIAA Certification throughout the year working with OBFS and University Audits to address internal control weaknesses prior to the annual certification.

Review FCIAA Certification, explanations and resources.
Login for FCIAA Application.
Fiscal Control and Internal Auditing Act Certification

Asset Management

1. Changes, transfers, and deletions of assets are recorded promptly in unit equipment inventory records.
2. University property control decals are promptly affixed to equipment as required by University guidelines.
3. If scheduled for completion during the past year, the unit has conducted its equipment inventory in accordance with University guidelines and submitted required reports to the Property Control Office.
4. The unit has completed a physical inventory of its merchandise for resale and reconciled the results with its financial record in accordance with established University policies and procedures. (Note: This control applies only to units that sell merchandise to customers.)
5. University equipment has not been physically removed from campus for disposal or transfer prior to receiving authorized approval in compliance with University policies and procedures and State regulations.
6. Cash under the control of the unit is managed in accordance with University policies and procedures established for cash controls.
7. Funds, property, and other assets and resources (including the University P-Card and T-Card) are safeguarded against waste, loss, unauthorized use, and misappropriation.

Financial Management

8. Accounting financial statements are reviewed each month and appropriate actions are initiated to reconcile transactions to unit records.
9. Business plans have been developed for clearing deficit balances in excess of...
Fiscal Control and Internal Auditing Act (FCIAA) Certification

These Web-based courses provide an overview of what FCIAA certification is, why it is important, and how the process occurs.

The FCIAA certification process is role-based; if you are a Submitter or Approver in the FCIAA application, take the online FCIAA Training for Submitter and Approver. If you have another role in the FCIAA application, take the FCIAA Training for Other Roles course.

Note: You will need Adobe Flash Player and JavaScript enabled in your browser to watch the training courses below.

Job Aids

- FCIAA Roles [updated: 10/17/2017]
- Managing Users in FCIAA [updated: 10/17/2017]
- Identifying Material Weaknesses [updated: 10/17/2017]

Online Training

- FCIAA Training for Submitters and Approvers [updated: 10/25/2016]
- FCIAA Training for Other Roles [updated: 10/25/2016]

Webinar

- FCIAA Overview [updated: 11/12/2015]
- FCIAA Overview Recorded Webinar [23 min 13 sec] [updated: 11/12/2015]

Note: You must have Adobe Acrobat version 9 or later to view the recorded webinar above. This recording contains audio. To view closed captions, click the Notes pane to the left of the slides.

www.obfs.uillinois.edu/training/materials/accounting/
OBFS > Training Center > Job Aids & Training Materials > Accounting & Financial Reporting > FCIAA
Summary

You should now be able to:

• Describe what FCIAA is
• List benefits of the online process
• Identify participant roles in the FCIAA process
• Explain your process flow for FCIAA
• Complete your part of the process using the FCIAA application
• Recognize where to find additional information
Questions?

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- Technical Support
  - Service Desk Request Form