



Virginia Department of Accounts  

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Financial Accountability. Reporting Excellence.

# ARMICS Certification System User's Guide

Compliance Oversight and Federal Reporting  
June 2021

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## INTRODUCTION

This guide provides step-by-step instructions for Agency Heads, Fiscal Officers, Managers, and Staff when accessing the Commonwealth of Virginia ARMICS Agency Self-Assessment System. The system provides a secure and accurate means of submitting information to DOA for yearly ARMICS Certification. The Commonwealth of Virginia entrusts each chief executive officer (agency head) with responsibility for designing, implementing, and maintaining an internal control program that complies with the *Agency Risk Management and Internal Control System Standards* and *CAPP Topic No. 10305, Internal Control*. Additionally, each agency must plan and take systematic and proactive measures to:

- a) Develop, implement, and maintain adequate and cost-effective internal control over the recording of financial transactions in the Commonwealth's General Ledger, compliance with the Commonwealth's financial reporting requirements for the agency, compliance with laws and regulations, and stewardship over the Commonwealth's assets;
- b) Annually assess the adequacy of internal control and identify needed improvements;
- c) Take corresponding preventative and corrective actions;
- d) Report annually on internal control to the Office of the Comptroller; and
- e) Take action to remediate any deficiency noted by the Department of Accounts or Auditor of Public Accounts.

Likewise, agencies must assess (test) internal control and supporting control activities to provide reasonable assurance of the ongoing efficiency and effectiveness of internal control within the agency and report annually to DOA its compliance via the ARMICS Certification Process.

This new management-reporting tool was created by DOA to aid agencies with assessments, streamline and provide accountability for the submission process for each agency's annual ARMICS Certification.

## Logging Into the ARMICS Agency Self-Assessment System

Click on the link below to open the ARMICS Agency Self-Assessment Survey/Questionnaire.

<https://armics.doa.virginia.gov>

You will need a User ID and password to log into the system. Your User ID will be your agency email address.

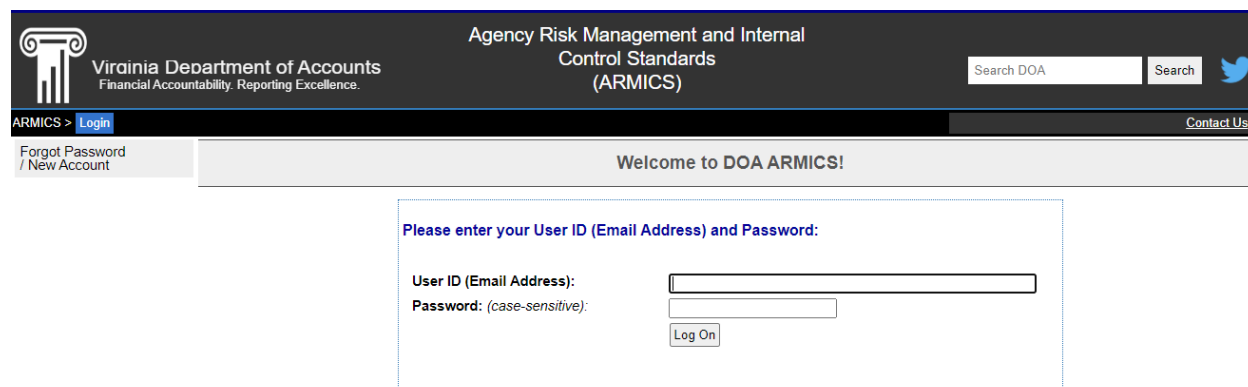
Fiscal Officers and Agency Heads follow the instructions below to create an account.

Fiscal Officers may designate other agency users for purposes of completing the assessment. To set up these designated users, provide a list of names, titles, and email addresses to [ARMICS@doa.virginia.gov](mailto:ARMICS@doa.virginia.gov). These users will be created in the system and provided with temporary passwords. Once the temporary password is received agency users may proceed to page 5 of the User's Guide.

\*Please note: if you are a Fiscal Officer who certifies for multiple agencies, please include the agency names and numbers when requesting access for designated users. See page (44) for more information on multiple agency selection.

\*For best results, please use the Google Chrome browser when completing this survey.

To create a new account, click on the Forgot Password/New Account link in the upper left hand corner of the page.



The screenshot shows the login interface for the ARMICS system. At the top, there is a header with the Virginia Department of Accounts logo and the text "Agency Risk Management and Internal Control Standards (ARMICS)". Below this, there is a search bar and a "Search" button. The main content area has a "Welcome to DOA ARMICS!" message. A login box is centered on the page, containing the prompt "Please enter your User ID (Email Address) and Password:". Inside this box, there are two input fields: "User ID (Email Address):" and "Password: (case-sensitive):". A "Log On" button is located below the password field. In the top left corner of the login box, there is a link for "Forgot Password / New Account".

Once you click on the link, you will enter your e-mail address in the User ID box and click the “Submit” button.

An Agency of the Commonwealth of Virginia

Virginia.gov Find an Agency

Virginia Department of Accounts  
Financial Accountability. Reporting Excellence.

Agency Risk Management and Internal Control Standards (ARMICS)

Search DOA Search

ARMICS > **Forgot Password** Contact Us

Log On

**Forgot Password**

Please enter your User ID (Email Address):

This will take you to the ARMICS “Forgot Password” screen - Click “Send Password”. This process will be used for new accounts as well as password resets.

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Financial Accountability. Reporting Excellence.

Agency Risk Management and Internal Control Standards (ARMICS)

Search DOA Search

ARMICS > **Forgot Password** Contact Us

Log On

**ARMICS - Forgot Password**

User ID:

Password Hint:

Send new password to my email address:

You will be prompted to create a personal pass phrase (any word or phrase of your choosing with 5 to 25 characters). Remember your pass phrase! You will be required to provide this pass phrase when using your temporary password to access the ARMICS system for the first time. Click “Submit Pass Phrase”.

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Financial Accountability. Reporting Excellence.

Agency Risk Management and Internal Control Standards (ARMICS)

Search DOA Search

ARMICS > **Forgot Password** Contact Us

Log On

**ARMICS - Forgot Password**

Please enter a personal pass phrase (any word or phrase of your choosing with 5 to 25 characters).

Pass Phrase:

**REMEMBER YOUR PASS PHRASE!**

**YOU WILL BE REQUIRED TO PROVIDE THIS PASS PHRASE WHEN USING YOUR TEMPORARY PASSWORD TO ACCESS THE ARMICS APPLICATION FOR THE FIRST TIME.**

You will receive an email stating that your new temporary password has been sent.

The screenshot shows the ARMICS - Forgot Password page. The header includes the Virginia Department of Accounts logo, the text "Agency Risk Management and Internal Control Standards (ARMICS)", a search bar, and a Twitter icon. The navigation bar shows "ARMICS > Forgot Password" and a "Contact Us" link. The main content area has a "Log On" link on the left and a heading "ARMICS - Forgot Password". A red message states: "Your new temporary password has been sent to testuser@doa.virginia.gov".

Once you receive the temporary password, return to the home page to login (shown below)

The screenshot shows the ARMICS - Login page. The header is identical to the previous page. The navigation bar shows "ARMICS > Login" and a "Contact Us" link. The main content area has a "Forgot Password / New Account" link on the left and a heading "Welcome to DOA ARMICS!". A blue message says: "Please enter your User ID (Email Address) and Password:". Below this, there are input fields for "User ID (Email Address)" (containing "TestUser@doa.virginia.gov") and "Password: (case-sensitive)" (containing "\*\*\*\*\*"). A "Log On" button is at the bottom right of the form.

You will now create your new, secure password and select security questions.

The screenshot shows the ARMICS - Forgot Password page for password reset. The header and navigation bar are identical. The main content area has a "Log On" link on the left and a heading "ARMICS - Forgot Password". A red message states: "Please enter your temporary password and pass phrase." Below this, there are input fields for "User ID:" (containing "testuser@doa.virginia.gov"), "Temporary Password:" (containing "\*\*\*\*\*"), and "Pass Phrase:" (containing "ARMICS Everyday"). A "Submit" button is to the right of the "Pass Phrase" field. Below the form, there is an "OR" section with the text "I would like a new temporary password assigned" and a "Submit" button.

Complete security questions and answers, then click submit.

The screenshot shows the 'ARMICS - Forgot Password' form. At the top, the Virginia Department of Accounts logo is on the left, and the title 'Agency Risk Management and Internal Control Standards (ARMICS)' is in the center. A search bar with 'Search DOA' and a 'Search' button is on the right, along with a Twitter icon. Below the header, a navigation bar shows 'ARMICS > Forgot Password' and a 'Contact Us' link. The main content area has a 'Log On' link on the left and a 'Submit' button at the top. Below the button, a red message reads: 'Please enter new personal information. Enter new password twice for verification.' The form fields are: 'Password:' (masked with dots, required, case-sensitive), 'Verify Password:' (masked with dots, required, case-sensitive), 'Challenge Question 1:' (dropdown menu with 'Mother's maiden name' selected, required), 'Challenge Question 2:' (dropdown menu with 'Name of your first pet' selected, required), and 'Hint:' (text field with 'Certification' entered).

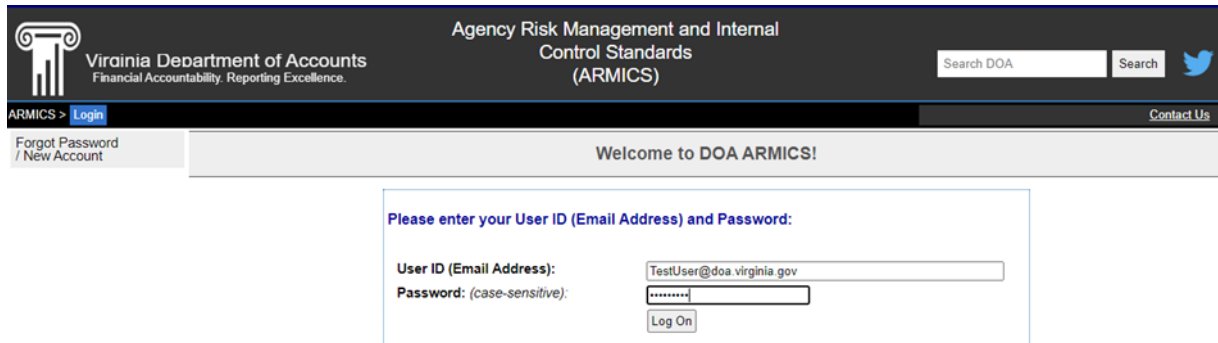
You will receive a message that “Your record was successfully updated!”

The screenshot shows the same 'ARMICS - Forgot Password' form, but now it displays a success message in red: 'Your record was successfully updated!'. Below this message, a red text prompt says: 'Please Log On using your new password.' The rest of the form and navigation elements remain the same as in the previous screenshot.

Now that you’re set up, let’s get logged in!

## Getting Started

From the Main Page, Type in your user ID and password (agency email address and password you just created) and login.



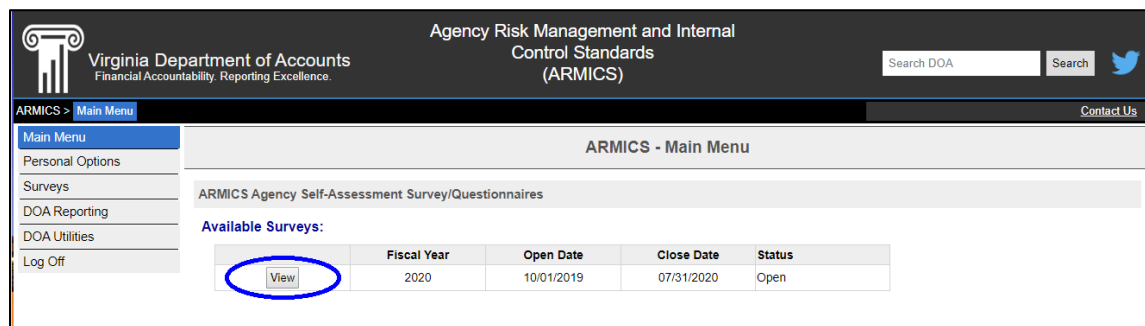
The screenshot shows the ARMICS login page. At the top, there is a header with the Virginia Department of Accounts logo and the text "Agency Risk Management and Internal Control Standards (ARMICS)". Below the header, there is a search bar and a "Search" button. The main content area has a "Welcome to DOA ARMICS!" message. Below this, there is a login form with the following fields:

- User ID (Email Address):** TestUser@doa.virginia.gov
- Password: (case-sensitive):** [masked]
- Log On** button

There are also links for "Forgot Password / New Account" and "Contact Us".

This will bring you to the following screen. You want to click on view (1a) to open up options that allow you to select (1b) your agency

1a.



The screenshot shows the ARMICS Main Menu. On the left, there is a sidebar with the following options:

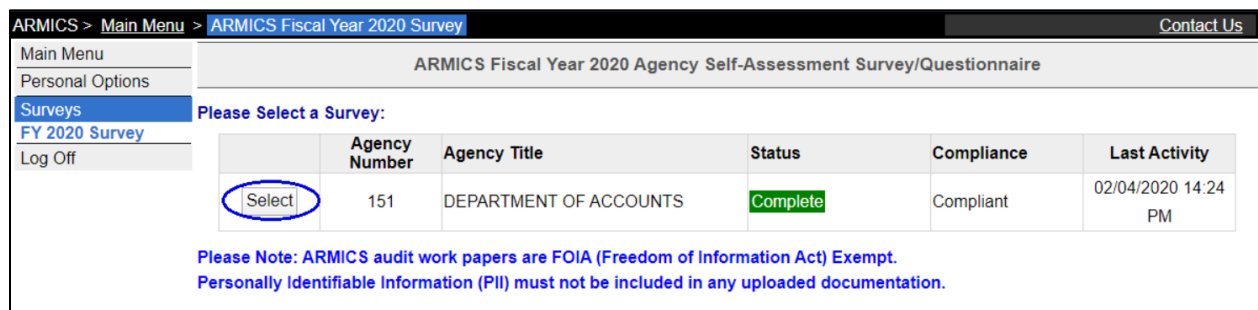
- Main Menu
- Personal Options
- Surveys
- DOA Reporting
- DOA Utilities
- Log Off

The main content area is titled "ARMICS - Main Menu" and contains the following information:

- ARMICS Agency Self-Assessment Survey/Questionnaires
- Available Surveys:**

	Fiscal Year	Open Date	Close Date	Status
<a href="#">View</a>	2020	10/01/2019	07/31/2020	Open

1b.



The screenshot shows the ARMICS Fiscal Year 2020 Survey page. On the left, there is a sidebar with the following options:

- Main Menu
- Personal Options
- Surveys
- FY 2020 Survey
- Log Off

The main content area is titled "ARMICS Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire" and contains the following information:

- Please Select a Survey:**

	Agency Number	Agency Title	Status	Compliance	Last Activity
<a href="#">Select</a>	151	DEPARTMENT OF ACCOUNTS	Complete	Compliant	02/04/2020 14:24 PM

**Please Note:** ARMICS audit work papers are FOIA (Freedom of Information Act) Exempt. Personally Identifiable Information (PII) must not be included in any uploaded documentation.

The Agency Number, Agency Title, Survey Status ("complete"), Compliance Status and Last Activity will be displayed.

Please Note: ARMICS audit work papers are FOIA (Freedom of Information Act) Exempt. Personally Identifiable Information (PII) must not be included in any uploaded documentation.

Once you click on the select button, you may begin the assessment.



## Key Components of Internal Control

Each Section will address one of the 5 key components of internal control.

1. Control Environment
2. Risk Assessment
3. Control Activities
4. Information and Communication
5. Monitoring Activities

## Control Environment

The first component is the **Control Environment**. You will need to upload documentation for this question and others throughout the survey. The question below is asking about your Agency's Control Environment.

### I. Control Environment

#### Question 1

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

#### I. CONTROL ENVIRONMENT

To demonstrate that the Control Environment internal control component is established and fully functioning, the agency must meet the following Minimum Requirements:

##### 1. Has the agency developed and actively promoted a Code of Ethics?

Please select one of the options:

- ☒ Yes - Our agency has developed and actively promoted a Code of Ethics.  
*(NOTE: Requires upload of agency's "Code of Ethics").*
- ☐ No - Our agency has NOT developed and actively promoted a Code of Ethics.  
*(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).*

Save and Quit

Summary

Next

We've answered yes to the first question, please note that for each question answered, you have the option to save and quit [Save and Quit](#) or view a summary [Summary](#) of what you've completed so far.

If you answered "Yes, Our Agency has developed and actively promoted a Code of Ethics", you will be required to upload a copy of your agency's Code of Ethics.

## X. Required Attachments

Please upload the required documentation to support your answer to I. **Control Environment**, Question 1. Select the file you wish to upload (you may want to save the document to your desktop where it might be easier to access). Click on choose file and select the file you want to upload.

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**X. REQUIRED ATTACHMENTS**

Please upload "Agency Code of Ethics":

File to Upload:

Choose File

No file chosen

Upload File

(Limit 30MB per file)

Previous

Save and Quit

Summary

Once the file has been selected (as shown below), click on 

Upload File

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**X. REQUIRED ATTACHMENTS**

Please upload "Agency Code of Ethics":

File to Upload:

Choose File

Code Of Ethics.docx

Upload File

(Limit 30MB per file)

Previous

Save and Quit

Summary

You will receive a confirmation that your file was uploaded successfully!

**Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire**  
**Agency 151 - DEPARTMENT OF ACCOUNTS**

FY2020\_AGY151\_Agency\_Code\_Of\_Ethics.docx was uploaded successfully

**X. REQUIRED ATTACHMENTS**  
**Please upload "Agency Code of Ethics":**  
**Uploaded File:** FY2020\_AGY151\_Agency\_Code\_Of\_Ethics.docx Delete File View File  
Save and Quit Summary Previous Next

If you answered “No, Our Agency has NOT developed and actively promoted a Code of Ethics”, you will be required to upload a copy of your agency’s Corrective Action Plan (CAP) at the end of the survey.

As you continue to review the questions, click on the desired answer and click the next Next button to move to the next question.

ARMICS standards or related CAPP Topic excerpts will be included at the bottom of the pane on some screens (as the one shown below) for reference.

## I. Control Environment

### Question 2

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

#### I. CONTROL ENVIRONMENT

To demonstrate that the Control Environment internal control component is established and fully functioning, the agency must meet the following Minimum Requirements:

**2. Has the agency documented, tested and assessed key elements of the Control Environment including, but not limited to:**

- a. Management philosophy
- b. Management's attitude towards risk
- c. Oversight by the agency's governing board
- d. Integrity and ethical values
- e. Promotion of ethics and appropriate conduct
- f. Organizational structure
- g. Assignment of authority and responsibility
- h. Workforce competence and human resource development

**Please select one of the options:**

- ☒ Yes - Our agency has documented, tested and assessed key elements of the Control Environment.  
*(NOTE: Requires upload of "Testing and assessment of key elements of the Control Environment").*
- ☐ No - Our agency has NOT documented, tested and assessed key elements of the Control Environment.  
*(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).*

*(See ARMICS Standards, pp. 13-18, and Appendix A - Internal Control Assessment Guide, "Control Environment Assessment Tools," pp. 40-45).*

Save and Quit

Summary

Previous

Next

## Risk Assessment

**Risk Assessment** is the next component to assess. You will need to upload documentation for this question. The question below is asking about your Agency-Level Risk Assessment.

If you answered “Yes, Our Agency has Conducted/Documented an Agency-Level Risk Assessment”, you will be required to upload a copy of the assessment performed.

If you answered “No, Our Agency has NOT Conducted/Documented an Agency-Level Risk Assessment”, you will be required to upload a copy of your agency’s Corrective Action Plan (CAP) at the end of the survey.

*Example shown below (II. Risk Assessment, Question 3)*

### II. Risk Assessment Question 3

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**II. RISK ASSESSMENT**

To demonstrate that the Risk Assessment internal control component is established and fully functioning, the agency must meet the following Minimum Requirements:

---

**3. Has the agency conducted and documented an Agency-Level Risk Assessment? This Risk Assessment should be coordinated with the strategic planning process overseen by the Department of Planning and Budget.**

**Please select one of the options:**

- ☒ Yes - Our Agency has Conducted/Documented an Agency-Level Risk Assessment.  
*(NOTE: Requires upload of "Agency-Level Risk Assessment").*
- ☐ No - Our Agency has NOT Conducted/Documented an Agency-Level Risk Assessment.  
*(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).*

*(See ARMICS Standards, pp. 19-21 and Appendix A - Internal Control Assessment, "Agency-Level Risk Assessment Tools," pp. 46-48).*

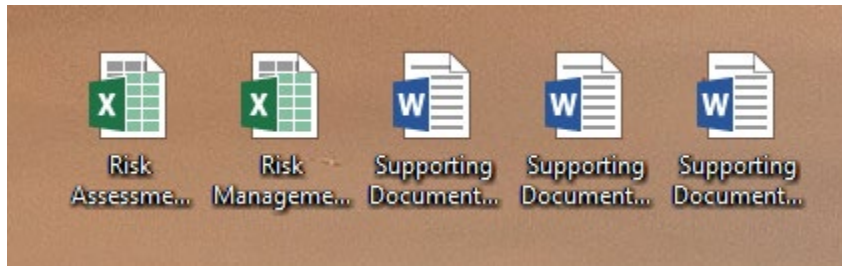
Save and QuitSummary

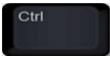
PreviousNext

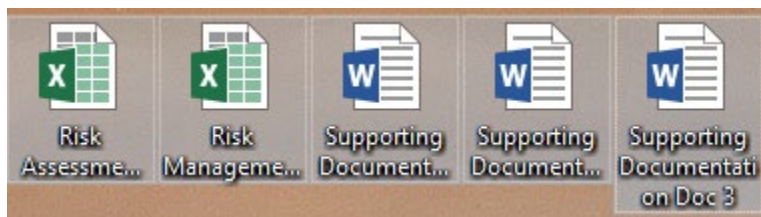
You may have more than one document to upload for the Agency-Level Risk Assessment. If so, you will need to create a zip file (containing your files) before uploading them.

## How to Create a Zip File

You want to gather the files you would like zipped

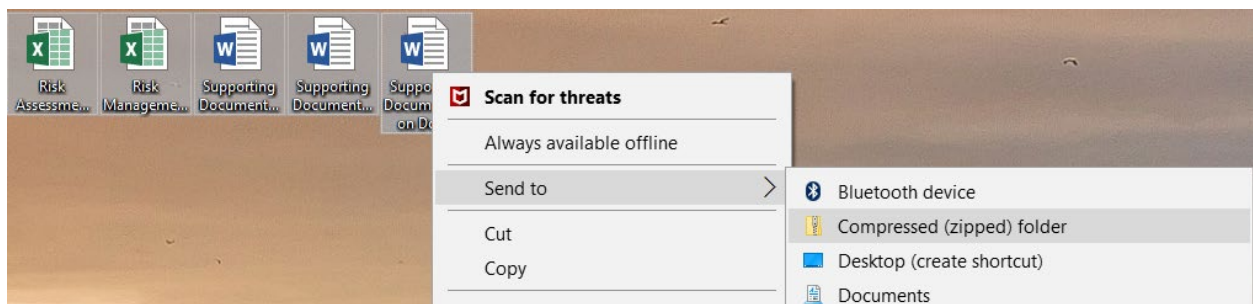


Press and hold the Control key  and select each file individually. As you select the files, you will notice the files appear “highlighted” which indicates you have captured the file.



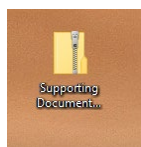
Continuing to hold the Control Key, right click on your mouse to display the following options:  
Send to >

Compressed (zipped folder)



Click on compressed (zipped folder)

Once you click on compressed (zipped folder), the zipped file should be created and placed on your desktop. The zipped file is now ready for upload.



Choose your zip file for upload

#### X. REQUIRED ATTACHMENTS

Please upload "Agency-Level Risk Assessment":

File to Upload:

No file chosen

(Limit 30MB per file)

Select your zip file for upload and click on Upload File

#### X. REQUIRED ATTACHMENTS

Please upload "Agency-Level Risk Assessment":

File to Upload:

Supporting D...n Doc 3.zip

(Limit 30MB per file)

Your zip file successfully uploaded!

You are now ready to continue to the next question.

## II. Risk Assessment

Please enter 4-digit Fiscal Year of the most recent Agency-Level Risk Assessment

This is going to be the Fiscal Year of your agency's most recently completed assessment.  
(Agency-Level Risk Assessments are required every 3 years at a minimum)

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**II. RISK ASSESSMENT**  
To demonstrate that the Risk Assessment internal control component is established and fully functioning, the agency must meet the following Minimum Requirements:

Please enter 4-digit Fiscal Year of most recent Agency-Level Risk Assessment:

*(See ARMICS Standards, pp. 19-21 and Appendix A - Internal Control Assessment, "Agency-Level Risk Assessment Tools," pp. 46-48).*

Save and Quit

Summary

Previous

Next

## II. Risk Assessment

### Question 4

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**II. RISK ASSESSMENT**  
To demonstrate that the Risk Assessment internal control component is established and fully functioning, the agency must meet the following Minimum Requirements:

**4. Has the agency conducted and documented Risk Assessments of each agency fiscal process as part of the documentation and assessment of Control Activities?**  
Please select one of the options:

- ☒ Yes - Our agency has conducted and documented Risk Assessments of each agency fiscal process.  
*(NOTE: Requires upload of "List of agency fiscal processes, the Risk Assessments associated with each one, and an assessment of Control Activities").*
- ☐ No - Our agency has NOT conducted and documented Risk Assessments of each agency fiscal process.  
*(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).*

*(See ARMICS Standards, pp. 19-21 and Appendix A - Internal Control Assessment, "Process Control Assessment," pp. 65).*

Save and Quit

Summary

Previous

Next

If your agency has NOT conducted and documented Risk Assessments of each agency fiscal process, an uploaded Corrective Action Plan is required at the end of the survey.



## Control Activities

### III. Control Activities – Agency and Transaction Level

#### Question 5

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS	
<b>III. CONTROL ACTIVITIES - AGENCY AND TRANSACTION LEVEL</b> To demonstrate that the Control Activity internal control component is established and fully functioning, the agency must meet the following minimum requirements:	
<b>5. Has the agency documented, assessed, and tested the Agency-Level Control Activities applicable to:</b>	
<b>a. All significant fiscal processes</b>	
<b>b. Accounting administration</b>	
<b>c. The Commonwealth's General Ledger</b>	
<b>d. Information systems</b>	
<b>Please select one of the options:</b>	
<input checked="" type="radio"/> Yes - Our agency has documented, assessed, and tested the Agency-Level Control Activities. <i>(NOTE: Requires upload of "Testing and assessment of Agency-Level Control Activities").</i>	
<input type="radio"/> No - Our agency has NOT documented, assessed, and tested the Agency-Level Control Activities. <i>(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).</i>	
<i>(See ARMICS Standards, pp. 21-27 and Appendix A - Internal Control Assessment Guide, "Agency-Level Control Activity Assessment Tools," pp. 49-54).</i>	
<input type="button" value="Save and Quit"/>	<input type="button" value="Summary"/>
<input type="button" value="Previous"/>	<input type="button" value="Next"/>

### III. Control Activities – Agency and Transaction Level

Please enter 4-digit Fiscal Year of the most recent Control Activities Assessment

This will be the fiscal year in which the most recent assessment was completed.

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS	
<b>III. CONTROL ACTIVITIES - AGENCY AND TRANSACTION LEVEL</b> To demonstrate that the Control Activity internal control component is established and fully functioning, the agency must meet the following minimum requirements:	
<b>Please enter 4-digit Fiscal Year of most recent Agency-Level Assessment completed:</b> <input type="text" value="2020"/>	
<i>(See ARMICS Standards, pp. 21-27 and Appendix A - Internal Control Assessment Guide, "Agency-Level Control Activity Assessment Tools," pp. 49-54).</i>	
<input type="button" value="Save and Quit"/>	<input type="button" value="Summary"/>
<input type="button" value="Previous"/>	<input type="button" value="Next"/>

### III. Control Activities – Agency and Transaction Level

#### Question 5a

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS	
<b>III. CONTROL ACTIVITIES - AGENCY AND TRANSACTION LEVEL</b> To demonstrate that the Control Activity internal control component is established and fully functioning, the agency must meet the following minimum requirements:	
<b>5a. Based on the results of its assessment of Agency-Level Control Activities in accordance with ARMICS; has the agency identified "Significant Weaknesses" in Internal Control as of June 30?</b>	
Please select one of the options:	
<input type="radio"/> Yes - Our agency has identified "Significant Weaknesses" in Internal Control as of June 30. <i>(NOTE: Requires upload of 1) "List of Significant Weaknesses in Internal Control" and 2) "Corrective Action Plan" at the end of the survey.)</i>	
<input checked="" type="radio"/> No - Our agency has NOT identified "Significant Weaknesses" in Internal Control as of June 30.	
<i>(See ARMICS Standards, pp. 21-27 and Appendix A - Internal Control Assessment Guide, "Agency-Level Control Activity Assessment Tools," pp. 49-54).</i>	
<input type="button" value="Save and Quit"/>	<input type="button" value="Summary"/>
<input type="button" value="Previous"/>	<input type="button" value="Next"/>

If your agency identifies “Significant Weaknesses” in internal control as of June 30<sup>th</sup>, you will be required to upload a list of Significant Weaknesses in Internal Control now and a Corrective Action plan at the end of the survey.

### III. Control Activities – Agency and Transaction Level

#### Question 5b

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS	
<b>III. CONTROL ACTIVITIES - AGENCY AND TRANSACTION LEVEL</b> To demonstrate that the Control Activity internal control component is established and fully functioning, the agency must meet the following minimum requirements:	
<b>5b. Based on the results of its assessment of Agency-Level Control Activities in accordance with ARMICS; has the agency identified "Insignificant Weaknesses" in Internal Control as of June 30?</b>	
Please select one of the options:	
<input type="radio"/> Yes - Our agency has identified "Insignificant Weaknesses" in Internal Control as of June 30. <i>(NOTE: Requires upload of "List of Insignificant Weaknesses in Internal Control").</i>	
<input checked="" type="radio"/> No - Our agency has NOT identified "Insignificant Weaknesses" in Internal Control as of June 30.	
<i>(See ARMICS Standards, pp. 21-27 and Appendix A - Internal Control Assessment Guide, "Agency-Level Control Activity Assessment Tools," pp. 49-54).</i>	
<input type="button" value="Save and Quit"/>	<input type="button" value="Summary"/>
<input type="button" value="Previous"/>	<input type="button" value="Next"/>

If your agency identifies “Insignificant Weaknesses” in internal control as of June 30<sup>th</sup>, you will be required to upload a list of Insignificant Weaknesses in Internal Control.

### III. Control Activities – Agency and Transaction Level

#### Question 6

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**III. CONTROL ACTIVITIES - AGENCY AND TRANSACTION LEVEL**

To demonstrate that the Control Activity internal control component is established and fully functioning, the agency must meet the following minimum requirements:

**6. Has the agency identified and documented all Significant Agency Fiscal Processes?**

Please select one of the options:

☒ Yes - Our agency has identified and documented all Significant Agency Fiscal Processes.  
*(NOTE: Requires upload of "List of Significant Agency Fiscal Processes").*

☐ No - Our agency has NOT identified and documented all Significant Agency Fiscal Processes.  
*(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).*

Save and Quit

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If your agency identified and documented all Significant Agency Fiscal Processes, you are required to upload the list now. If your agency has **NOT** documented all Significant Agency Fiscal Processes, a Corrective Action Plan is required at the end of the survey.

### III. Control Activities – Agency and Transaction Level

#### Question 6a

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**III. CONTROL ACTIVITIES - AGENCY AND TRANSACTION LEVEL**

To demonstrate that the Control Activity internal control component is established and fully functioning, the agency must meet the following minimum requirements:

**6a. Has the agency assessed and tested all Significant Agency Fiscal Processes and the operation of their associated Transaction-Level control activities this fiscal year?**

Please select one of the options:

☒ Yes - Our agency has assessed and tested all Significant Agency Fiscal Processes and the operation of their associated Transaction-Level Control Activities this fiscal year.

☐ No - Our agency has NOT assessed and tested all Significant Agency Fiscal Processes and the operation of their associated Transaction-Level Control Activities this fiscal year.  
*(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).*

*(See ARMICS Standards, pp. 21-27 and Appendix A - Internal Control Assessment Guide, "Process or Transaction-Level Control Activity Assessment," pp. 60-67).*

Save and Quit

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If your agency has **NOT** assessed and tested all Significant Agency Fiscal Processes **AND** the operation of their associated Transaction Level Control Activities as of June 30<sup>th</sup>, a Corrective Action Plan is required at the end of the survey.

### III. Control Activities – Agency and Transaction Level

#### Question 6b

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS
<div><b>III. CONTROL ACTIVITIES - AGENCY AND TRANSACTION LEVEL</b> To demonstrate that the Control Activity internal control component is established and fully functioning, the agency must meet the following minimum requirements:</div> <div><b>6b. Based on the results of its assessment of Transaction-Level control activities in accordance with ARMICS; has the agency identified "Significant Weaknesses" in Internal Control as of June 30?</b></div> <div><b>Please select one of the options:</b></div> <div><p><input type="radio"/> Yes - We have identified "Significant Weaknesses" in Internal Control as of June 30. <i>(NOTE: Requires upload of 1) "List of Significant Weaknesses in Internal Control" and 2) "Corrective Action Plan" at the end of the survey).</i></p><p><input checked="" type="radio"/> No - We have NOT identified "Significant Weaknesses" in Internal Control as of June 30.</p></div> <div><p><i>(See ARMICS Standards, pp. 21-27 and Appendix A - Internal Control Assessment Guide, "Process or Transaction-Level Control Activity Assessment," pp. 60-67).</i></p></div> <div><div>Save and Quit</div><div>Summary</div><div>Previous</div><div>Next</div></div>

If your agency has identified “Significant Weaknesses” based on the results of the assessment of Transaction Level control activities as of June 30<sup>th</sup>, a list of “Significant Weaknesses” must be uploaded now, and a Corrective Action Plan is required at the end of the survey.

### III. Control Activities – Agency and Transaction Level

#### Question 6C

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS
<div><b>III. CONTROL ACTIVITIES - AGENCY AND TRANSACTION LEVEL</b> To demonstrate that the Control Activity internal control component is established and fully functioning, the agency must meet the following minimum requirements:</div> <div><b>6c. Based on the results of its assessment of Transaction-Level control activities in accordance with ARMICS; has the agency identified "Insignificant Weaknesses" in Internal Control as of June 30?</b></div> <div><b>Please select one of the options:</b><ul style="list-style-type: none"><li><input type="radio"/> Yes - We have identified "Insignificant Weaknesses" in Internal Control as of June 30. <i>(NOTE: Requires upload of "List of Insignificant Weaknesses in Internal Control").</i></li><li><input checked="" type="radio"/> No - We have NOT identified "Insignificant Weaknesses" in Internal Control as of June 30.</li></ul></div> <div><i>(See ARMICS Standards, pp. 21-27 and Appendix A - Internal Control Assessment Guide, "Process or Transaction-Level Control Activity Assessment," pp. 60-67).</i></div> <div><div>Save and Quit</div><div>Summary</div><div>Previous</div><div>Next</div></div>

If your agency has identified “Insignificant Weaknesses” based on the results of the assessment of Transaction Level control activities as of June 30<sup>th</sup>, a list of “Insignificant Weaknesses” must be uploaded now.

## Information & Communication

### IV. Information & Communication

#### Question 7

“Information and Communication” involves identifying, capturing, and communicating relevant information in a form and timeframe that enables people to carry out their responsibilities. Effective communication occurs down, across, and up the agency. An effective information and communication process will assure that all personnel receive a clear message from top management that internal control responsibilities are to be taken seriously.

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS	
<b>IV. INFORMATION &amp; COMMUNICATION</b> To demonstrate that the Information and Communication internal control component is established and fully functioning, the agency must meet the following minimum requirement:	
<b>7. Has the agency documented, assessed, and tested how it gathers, uses, and disseminates information?</b>	
Please select one of the options:	
<input checked="" type="radio"/> Yes - Our agency has documented, assessed, and tested how it gathers, uses, and disseminates information.	
<input type="radio"/> No - Our agency has NOT documented, assessed, and tested how it gathers, uses, and disseminates information.	
<i>(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).</i>	
<i>(See ARMICS Standards, pp. 28-31 and Appendix A - Internal Control Assessment Guide, "Information and Communication Assessment Tools", pp. 55-57).</i>	
<input type="button" value="Save and Quit"/>	<input type="button" value="Summary"/>
<input type="button" value="Previous"/>	<input type="button" value="Next"/>

If your agency has NOT documented, assessed, and tested how it gathers, uses, and disseminates information, a Corrective Action Plan is required at the end of the survey.

## Monitoring

“Monitoring” is the process of assessing the presence, functioning, and continuous improvement of internal control components. Monitoring is accomplished through ongoing management activities, separate evaluations, or both.

### V. Monitoring

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS	
<b>V. MONITORING</b> To demonstrate that the Monitoring internal control component is established and fully functioning, the agency must meet the following minimum requirement:	
<b>8. Has the agency documented and assessed (tested) the effectiveness of the agency's monitoring activities?</b>	
<b>Please select one of the options:</b>	
<input checked="" type="radio"/> Yes - Our agency has documented and assessed (tested) the effectiveness of the agency's monitoring activities.	
<input type="radio"/> No - Our agency has NOT documented and assessed (tested) the effectiveness of the agency's monitoring activities.	
<i>(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).</i>	
<i>(See ARMICS Standards, pp. 32-35 and Appendix A - Internal Control Assessment Guide, "Monitoring Assessment Tools," pp. 58-59).</i>	
<input type="button" value="Save and Quit"/>	<input type="button" value="Summary"/>
<input type="button" value="Previous"/>	<input type="button" value="Next"/>

If your agency has NOT documented and assessed (tested) the effectiveness of the agency's monitoring activities, a Corrective Action Plan is required at the end of the survey.

# The Commonwealth's Comprehensive Financial Report (ACFR)

## VI. Commonwealth's Comprehensive Financial Report (ACFR) Assurance Question 9

Fiscal Year 2021 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

### VI. COMMONWEALTH'S COMPREHENSIVE FINANCIAL REPORT (ACFR) ASSURANCE

To demonstrate the integrity and objectivity of the agency's Financial Transactions and Other Information reported to the Comptroller:

**9. Can agency management provide reasonable assurance the data provided for inclusion in the Commonwealth's Comprehensive Annual Financial Report (ACFR) are accurate in all material respects and that all disclosures necessary to obtain a thorough understanding of the Agency's financial activities have been included?**

Please select one of the options:

- ☒ Yes - Our agency management can provide reasonable assurance the data provided for inclusion in the Commonwealth's Comprehensive Annual Financial Report (ACFR) are accurate in all material respects and that all disclosures necessary to obtain a thorough understanding of the Agency's financial activities have been included.
- ☐ No - Our agency management cannot provide reasonable assurance that the data provided for inclusion in the Commonwealth's Comprehensive Annual Financial Report (ACFR) is accurate in all material respects, nor that all disclosures necessary to obtain a thorough understanding of the Agency's financial activities have been included. Our basis for this conclusion is due to the extent of the significant and ACFR weaknesses in internal control identified.

*(NOTE: Requires upload of 1) "List of Significant ACFR Weaknesses in Internal Control" and 2) "Corrective Action Plan" at the end of the survey.)*

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If your agency is unable to provide reasonable assurance that data provided for inclusion in the Commonwealth's Comprehensive Annual Financial Report (ACFR) is accurate in all material respects, and that all necessary disclosures to obtain a thorough understanding of your Agency's financial activities have been included, a list of significant ACFR weaknesses is required to be uploaded now and a Corrective Action Plan is required at the end of the survey.



## VII. Financial Reporting, Applicable Laws & Regulations and Stewardship Assurance

### Question 10

#### Fiscal Year 2021 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS

#### VII. FINANCIAL REPORTING, APPLICABLE LAWS & REGULATIONS AND STEWARDSHIP ASSURANCE

To demonstrate reasonable assurance that internal control exists over the recording of financial transactions in the Commonwealth's General Ledger; compliance with the agency's financial reporting requirements, compliance with applicable laws and regulations, and stewardship over the Commonwealth's assets:

**10. Agency management has performed the annual ARMICS assessment in accordance with Comptroller's Directives 1-07 and 1-08, and CAPP Topic 10305, *Internal Control*, and based on the results of this evaluation, can the agency provide reasonable assurance that internal control was operating effectively with the Agency as of June 30, 2021?**

Please select one of the options:

- ☒ Yes - We can provide reasonable assurance that internal control over the recording of financial transactions in the Commonwealth's General Ledger, compliance with the agency's financial reporting requirements, compliance with applicable laws and regulations, and stewardship over the Commonwealth's assets, was operating effectively and no significant weaknesses were found in the design or operation of the internal controls at the agency and transaction levels.
- ☐ No - We cannot provide reasonable assurance that internal control over the recording of financial transactions in the Commonwealth's General Ledger, compliance with the agency's financial reporting requirements, compliance with applicable laws and regulations, and stewardship over the Commonwealth's assets, was operating effectively due to the extent of the significant weaknesses in internal control found in the design or operation of the internal controls at the agency and transaction levels.

*(NOTE: Requires upload of 1) "List of Significant ACFR Weaknesses in Internal Control" and 2) "Corrective Action Plan" at the end of the survey.)*

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If your agency **cannot** provide reasonable assurance that internal control over the recording of financial transactions in the Commonwealth's General Ledger comply with the agency's financial reporting requirements, applicable laws and regulations, and stewardship over the Commonwealth's assets, was not operating effectively due to the extent of the significant weaknesses in internal control found in the design or operation of the internal controls at the agency and transaction levels, you are required to provide a list of any Significant ACFR Weaknesses not already identified in this survey, and a Corrective Action Plan at the end of the survey.

## VI. Question 9 & VII. Question 10

### Pre-Upload

#### X. REQUIRED ATTACHMENTS

You have indicated that:

- Our agency management cannot provide reasonable assurance that the data provided for inclusion in the Commonwealth's Comprehensive Annual Financial Report (ACFR) is accurate in all material respects, nor that all disclosures necessary to obtain a thorough understanding of the Agency's financial activities have been included. Our basis for this conclusion is due to the extent of the significant and ACFR weaknesses in internal control identified.
- We cannot provide reasonable assurance that internal control over the recording of financial transactions in the Commonwealth's General Ledger, compliance with the agency's financial reporting requirements, compliance with applicable laws and regulations, and stewardship over the Commonwealth's assets, was operating effectively due to the extent of the significant weaknesses in internal control found in the design or operation of the internal controls at the agency and transaction levels.

Please upload "List of Significant ACFR Weaknesses in Internal Control":

File to Upload:

Choose File No file chosen

Upload File

(Limit 30MB per file)

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### Post Upload

#### X. REQUIRED ATTACHMENTS

You have indicated that:

- Our agency management cannot provide reasonable assurance that the data provided for inclusion in the Commonwealth's Comprehensive Annual Financial Report (ACFR) is accurate in all material respects, nor that all disclosures necessary to obtain a thorough understanding of the Agency's financial activities have been included. Our basis for this conclusion is due to the extent of the significant and ACFR weaknesses in internal control identified.
- We cannot provide reasonable assurance that internal control over the recording of financial transactions in the Commonwealth's General Ledger, compliance with the agency's financial reporting requirements, compliance with applicable laws and regulations, and stewardship over the Commonwealth's assets, was operating effectively due to the extent of the significant weaknesses in internal control found in the design or operation of the internal controls at the agency and transaction levels.

Please upload "List of Significant ACFR Weaknesses in Internal Control":

File to Upload:

Choose File SIGNIFICAN...NESSES.docx

Upload File

(Limit 30MB per file)

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Save and Quit

Summary

File Uploaded Successfully!

FY2021\_AGY151\_Significant\_ACFR\_Weaknesses\_Internal\_Control.docx was uploaded successfully

#### X. REQUIRED ATTACHMENTS

You have indicated that:

- Our agency management cannot provide reasonable assurance that the data provided for inclusion in the Commonwealth's Comprehensive Annual Financial Report (ACFR) is accurate in all material respects, nor that all disclosures necessary to obtain a thorough understanding of the Agency's financial activities have been included. Our basis for this conclusion is due to the extent of the significant and ACFR weaknesses in internal control identified.
- We cannot provide reasonable assurance that internal control over the recording of financial transactions in the Commonwealth's General Ledger, compliance with the agency's financial reporting requirements, compliance with applicable laws and regulations, and stewardship over the Commonwealth's assets, was operating effectively due to the extent of the significant weaknesses in internal control found in the design or operation of the internal controls at the agency and transaction levels.

Please upload "List of Significant ACFR Weaknesses in Internal Control":

Uploaded File:

FY2021\_AGY151\_Significant\_ACFR\_Weaknesses\_Internal\_Control.docx

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## Internal Control Assurance

### VIII. Service Provider Agency – Internal Control Assurance

#### Question 11

If your agency used a Service Provider Agency, you will need to assure that your agency maintained adequate interaction with the Service Provider Agency to gain understanding of the service provider's control environment; and received written assurance from each Service Provider Agency regarding the state of internal control applicable to those significant fiscal processes. This will require an upload of the Service Provider Agency Clause (as shown in section VIII, question 11a).

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS
<p><b>VIII. SERVICE PROVIDER AGENCY - INTERNAL CONTROL ASSURANCE</b></p> <p>Cardinal CAPP Topic No. 10305, Internal Control, states, "an agency (Primary Agency) may use another agency (Service Provider Agency) to perform significant fiscal processes for the primary agency. In these instances, the primary agency must have adequate interaction with the service provider agency to gain an appropriate understanding of the service provider agency's control environment." The certifying agency must obtain written assurances from the Service Provider agency regarding the state of internal control applicable to those processes; and complete and submit the service provider agency clause (if applicable) with its certification statement:</p> <p><b>11. Did the agency (Primary Agency) use another agency (Service Provider Agency) to perform "significant fiscal processes" for the primary agency?</b></p> <p><b>Please select one of the options:</b></p> <ul style="list-style-type: none"><li><input checked="" type="radio"/> Yes - Our Agency used a Service Provider Agency to perform significant fiscal processes for our agency and received written assurance from "each" Service Provide Agency.</li><li><input type="radio"/> No - Our Agency did not use a Service Provider Agency to perform significant fiscal processes for our agency.</li></ul> <div><div>Save and Quit</div><div>Summary</div><div>Previous</div><div>Next</div></div>

If your agency did NOT use a Service Provider Agency, you will be directed to Question 12.

### VIII. SERVICE PROVIDER AGENCY - INTERNAL CONTROL ASSURANCE

Cardinal CAPP Topic No. 10305, Internal Control, states, "an agency (Primary Agency) may use another agency (Service Provider Agency) to perform significant fiscal processes for the primary agency. In these instances, the primary agency must have adequate interaction with the service provider agency to gain an appropriate understanding of the service provider agency's control environment." The certifying agency must obtain written assurances from the Service Provider agency regarding the state of internal control applicable to those processes; and complete and submit the service provider agency clause (if applicable) with its certification statement:

**11a. Did the agency maintain adequate interaction with the Service Provider Agency to gain understanding of the service provider's control environment; and received written assurance from each Service Provider Agency regarding the state of internal control applicable to those significant fiscal processes?**

**Please select one of the options:**

- ☐ Yes - Our agency maintained adequate interaction with the Service Provider Agency to gain understanding of the service provider's control environment and received written assurance from each Service Provider Agency regarding the state of internal control applicable to those significant fiscal processes.

*(NOTE: Requires upload of "Service Provider Agency Clause").*

- ☐ No - Our agency did not maintain adequate interaction with the Service Provider Agency to gain understanding of the service provider's control environment and did not receive written assurance from each Service Provider Agency regarding the state of internal control applicable to those significant fiscal processes.

*(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).*

*(See CAPP Topic No. 10305, Internal Control, for more guidance).*

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### X. REQUIRED ATTACHMENTS

**Please upload "Service Provider Agency Clause":**

**File to Upload:**

Choose File No file chosen

Upload File

*(Limit 30MB per file)*

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**Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire**  
**Agency 151 - DEPARTMENT OF ACCOUNTS**

**X. REQUIRED ATTACHMENTS**

**Please upload "Service Provider Agency Clause":**

**Uploaded File:**      FY2020\_AGY151\_Service\_Provider\_Agency\_Clause.docx

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## IX. Third-Party Provider – Internal Control Assurance

### Question 12

If your agency used a Third-Party Provider, you will need to verify that your agency had adequate interaction with the service provider to gain an appropriate understanding of the service provider's control environment. Agencies must maintain oversight over third-party service providers. The Commonwealth must have assurance over outsourced operations. The certifying agency should obtain written assurances, such as a SOC Report, from the Third-Party Provider regarding the state of internal control applicable to those significant fiscal processes; and complete and submit the Third-Party Provider Clause (if applicable) with its certification statement.

**Fiscal Year 2021 Agency Self-Assessment Survey/Questionnaire**  
**Agency 151 - DEPARTMENT OF ACCOUNTS**

**IX. THIRD-PARTY PROVIDER - INTERNAL CONTROL ASSURANCE**

Cardinal CAPP Topic No. 10305, Internal Control, states, "Agencies may use "Third-Party Providers" outside of the state to perform significant fiscal processes for the agency. In these instances, the agency must have adequate interaction with the service provider to gain an appropriate understanding of the service provider's control environment. Agencies must maintain oversight over third-party service providers. The Commonwealth must have assurance over outsourced operations." The certifying agency should obtain written assurances, such as a SOC Report, from the Third-Party Provider regarding the state of internal control applicable to those significant fiscal processes; and complete and submit the Third-Party Provider Clause (if applicable) with its certification statement:

---

**12. Did the agency use Third-Party Providers outside of the state to perform "significant fiscal processes" for the agency?**

**Please select one of the options:**

- ☒ Yes - Our agency used Third-Party Providers outside of the state to perform "significant fiscal processes" for the agency.
- ☐ No - Our agency did not use Third-Party Providers outside of the state to perform "significant fiscal processes" for the agency.

*(See CAPP Topic No. 10305, Internal Control, for more guidance).*

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If your agency did not use a Third-Party Provider, you will be directed to the next section.

Fiscal Year 2021 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**IX. THIRD-PARTY PROVIDER - INTERNAL CONTROL ASSURANCE**

Cardinal CAPP Topic No. 10305, Internal Control, states, "Agencies may use "Third-Party Providers" outside of the state to perform significant fiscal processes for the agency. In these instances, the agency must have adequate interaction with the service provider to gain an appropriate understanding of the service provider's control environment. Agencies must maintain oversight over third-party service providers. The Commonwealth must have assurance over outsourced operations." The certifying agency should obtain written assurances, such as a SOC Report, from the Third-Party Provider regarding the state of internal control applicable to those significant fiscal processes; and complete and submit the Third-Party Provider Clause (if applicable) with its certification statement:

**12a. Did the agency maintain adequate interaction with all Third-Party Providers to gain an appropriate understanding of the service provider's control environment; maintain oversight over third-party service providers; and obtain written assurances (SOC Reports) from the service provider regarding the state of internal control applicable to those significant fiscal processes?**

Please select one of the options:

☒ Yes - Our Agency maintained oversight over third-party service providers that perform significant processes or functions and obtained written assurances (SOC Reports) from the service provider regarding the state of internal control, per CAPP Topic 10305, Internal Control.  
*(NOTE: Requires upload of "Third-Party Service Provider Clause and SOC Reports").*

☐ No - Our Agency did not maintain oversight over third-party service providers that perform significant processes or functions and did not obtain written assurances (SOC Reports) from the service provider regarding the state of internal control, per CAPP Topic 10305, Internal Control.  
*(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).*

*(See CAPP Topic No. 10305, Internal Control, for more guidance).*

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If you answered Yes, your agency maintained oversight over third-party service providers that perform significant processes or functions and obtained written assurances (SOC Reports) from the service provider regarding the state of internal control, you will be required to upload a copy of the Third-Party Service Provider Clause and SOC Reports (as shown below).

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
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FY2020\_AGY151\_Third\_Party\_Service\_Provider\_Clause\_and\_SOC\_Reports.docx was uploaded successfully

**X. REQUIRED ATTACHMENTS**

Please upload "Third Party Service Provider Clause and SOC Reports":

Uploaded File:

FY2020\_AGY151\_Third\_Party\_Service\_Provider\_Clause\_and\_SOC\_Reports.docx

Delete File

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## Fiscal Officer Confirmation

### XI. Fiscal Officer Confirmation

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**XI. FISCAL OFFICER CONFIRMATION**

**Would you like to send an Email to the Fiscal Officer for signoff?**

**Please select one of the options:**

☐ Yes - Send an email to the Fiscal Officer for signoff.

☒ No - Do not send an email to the Fiscal Officer for signoff. I will alert the Fiscal Officer that the survey has been completed.

*NOTE: once you provide an answer to this question, the questionnaire will be locked and you will NOT be able to modify answers within the questionnaire.*

Save and Quit

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Once the survey is completed and all documents are uploaded, an e-mail can be sent to your agency's fiscal officer for review and signoff. Please note that once you provide an answer to this question, the questionnaire will be locked and you will not be able to modify answers within the questionnaire.

As a reminder, you have the option to save and quit [Save and Quit](#) or view a summary [Summary](#) of what you've completed so far. You may want to review your survey prior to requesting the Fiscal Officer or Agency Head signature and before the final submission to DOA.

### XI. Fiscal Officer Training Confirmation

ARMICS Training for Fiscal Officers, Managers, and staff can be found in the Commonwealth of Virginia Learning Center (COVLC) by searching for "ARMICS" at the following link: <https://covlc.virginia.gov>

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**XI. FISCAL OFFICER CONFIRMATION**

**Has the agency's Fiscal Officer completed the mandatory ARMICS Training for Fiscal Officers, Managers, and Staff?**

**Please select one of the options:**

☒ Yes - The agency's Fiscal Officer completed the mandatory ARMICS Training for Fiscal Officers, Managers, and Staff.

☐ No - The agency's Fiscal Officer has not completed the mandatory ARMICS Training for Fiscal Officers, Managers, and Staff.

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\*Please note that if your agency's fiscal officer has not completed the mandatory ARMICS Training, a Corrective Action Plan will be required.



## XII. Agency Head Confirmation

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**XII. AGENCY HEAD CONFIRMATION**

**Would you like to send an Email to the Agency Head for signoff?**

**Please select one of the options:**

- ☒ Yes - Send an email to the Agency Head for signoff.
- ☐ No - Do not send an email to the Agency Head for signoff. I will alert the Agency Head that the survey has been completed and electronically signed by the Fiscal Officer.

**Email Address:** AgencyHead@doa.virginia.gov

**Date Sent:** 12/06/2019

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Once the survey is completed and all documents are uploaded, an e-mail can be sent to the Agency Head for review and signoff.

## XII. Agency Head Training Confirmation

ARMICS Training for Agency Heads can be found in the Commonwealth of Virginia Learning Center (COVLC) by searching for "ARMICS" at the following link: <https://covlc.virginia.gov>

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

**XII. AGENCY HEAD CONFIRMATION**

**15. Has the Agency Head completed the mandatory ARMICS Training?**

**Please select one of the options:**

- ☒ Yes - The Agency Head has completed the mandatory ARMICS Training.
- ☐ No - The Agency Head has not completed the mandatory ARMICS Training.

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\*Please note that if the Agency Head has not completed the mandatory ARMICS Training, a Corrective Action Plan will be required.

## Conclusion

A Report Summary will be prepared and you will have the opportunity to view/make corrections to any of your previous answers. You may make changes to answers and uploads prior to sign off by your agency's Fiscal Officer. Once the Fiscal Officer signs off in the certification system, all answers are final.

Please review your agency's summary report before submitting it to DOA. If you have questions or need assistance with the overall certification process, please let us know by emailing [armics@doa.virginia.gov](mailto:armics@doa.virginia.gov)

Thank you for your commitment towards effective Internal Controls as demonstrated by your participation in the ARMICS Certification process.

**Examples of the ARMICS Self-Assessment Certification and ARMICS Survey Results are shown below:**

# Fiscal Officer Confirmation and Certification

## Fiscal Year 2021 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS

### XI. FISCAL OFFICER CONFIRMATION

[PDF](#)

**Agency Number: 151**

**Agency Name: DEPARTMENT OF ACCOUNTS**

Our agency's Management is responsible and accountable for:

1. The integrity and objectivity of the financial transactions and other information provided to the State Comptroller; providing reasonable assurance, the data provided for inclusion in the Commonwealth's Comprehensive Financial Report (ACFR) are accurate in all material respects; and that all disclosures necessary to obtain a thorough understanding of the Agency's financial activities have been included.
2. Providing reasonable assurance that internal control exists over the recording of financial transactions in the Commonwealth's General Ledger; compliance with the agency's financial reporting requirements; compliance with applicable laws and regulations; and stewardship over the Commonwealth's assets.
3. Establishing and maintaining an effective system of internal control; and completion of its control assessment of the agency-level risks and assessment of significant fiscal processes at the transaction level in accordance with Agency Management Internal Control Standards (ARMICS) and CAPP Topic 10305, Internal Control.

Based upon the results of our FY 2021 ARMICS Self-Assessment, we agree that we have fully completed an adequate assessment of internal control to reach a conclusion on the control environment at our agency. We agree that we are compliant with ARMICS in the following areas:

#### Compliant Items

- Developed a Code of Ethics.
- Documented/Tested/Assessed key elements of Control Environment.
- Conducted/Documented an Agency-Level Risk Assessment.
- Conducted/Documented Risk Assessment of each Agency-Level Fiscal Process.
- Documented/Tested/Assessed - Agency-Level Control Activities.
- Identified/Documented all Significant Agency Fiscal Processes.
- Assessed and tested all Significant Agency Fiscal Processes and the operation of their associated Control Actives at the Transaction-Level.
- Documented/Tested how the agency gathers, uses and disseminates information.
- Documented/Tested and assessed the effectiveness of the agency's monitoring activities.
- Agency CAN provide reasonable assurance that data provided in the ACFR are accurate in all material respects and all disclosures have been included to obtain an understanding of the agency's financial activities.
- Agency CAN provide reasonable assurance that internal control exists over recording of financial transactions in the Commonwealth's General Ledger, compliance with financial reporting requirements, compliance with applicable laws and regulations.
- Agency maintained adequate interaction with Service Provider Agency and received written assurance from "each" Service Provider Agency regarding the state of internal control.
- Agency maintained adequate interaction and oversight over third-party service providers; and obtained written assurances (SOC Reports) from the service provider regarding the state of internal control.
- Agency's Fiscal Officer has completed the mandatory ARMICS Training.

Our Agency Head and Fiscal Officer have reviewed this Certification, are in agreement with the agency's FY 2021 ARMICS Certification Statement, and agree to comply with ARMICS Standards and Cardinal CAPP Topic

**Fiscal Officer  
Electronic Signature**

**Name:** Douglas Page  
**Email:** doug.page@doa.virginia.gov

**Agency Head  
Electronic Signature**

**Name:**  
**Email:**

**TERMS OF ASSURANCE AND CERTIFICATION**

I hereby certify and provide reasonable assurance to the truthfulness and accuracy of the information provided in this ARMICS Self-Assessment Certification.

\* Please type your First and Last Name

Douglas Page

☒ Acceptance Checkbox:

I understand that by checking this box I acknowledge and agree to the above ARMICS Certification and the reported status of our agency's internal control. I further understand that my agency's certification status is subject to review by DOA and final certification status may change at DOA's discretion.

**TERMS OF ASSURANCE AND CERTIFICATION**

I hereby certify and provide reasonable assurance to the truthfulness and accuracy of the information provided in this ARMICS Self-Assessment Certification.

\* Please type your First and Last Name

☐ Acceptance Checkbox:

I understand that by checking this box I acknowledge and agree to the above ARMICS Certification and the reported status of our agency's internal control. I further understand that my agency's certification status is subject to review by DOA and final certification status may change at DOA's discretion.

**Submit Fiscal Officer Signoff**

Save and Quit

Summary

The Fiscal Officer is providing assurance that an adequate assessment of internal control has taken place and agree the agency is compliant with ARMICS. The Fiscal Officer will click "Submit Fiscal Officer Signoff" **Submit Fiscal Officer Signoff** to complete the sign off process.

## Agency Head Confirmation and Certification

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS	
<b>XII. AGENCY HEAD CONFIRMATION</b>	
<b>Would you like to send an Email to the Agency Head for signoff?</b>	
<b>Please select one of the options:</b>	
<input type="radio"/> Yes - Send an email to the Agency Head for signoff.	
<input checked="" type="radio"/> No - Do not send an email to the Agency Head for signoff. I will alert the Agency Head that the survey has been completed and electronically signed by the Fiscal Officer.	
<a href="#">Save and Quit</a>	<a href="#">Summary</a>
<a href="#">Previous</a>	<a href="#">Next</a>

The Fiscal Officer has the option of selecting “Yes” to send an email to the Agency Head requesting signoff (if this is the desired method of communication ) if not, select “No”.

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire Agency 151 - DEPARTMENT OF ACCOUNTS	
<b>XII. AGENCY HEAD CONFIRMATION</b>	
<b>15. Has the Agency Head completed the mandatory ARMICS Training?</b>	
<b>Please select one of the options:</b>	
<input checked="" type="radio"/> Yes - The Agency Head has completed the mandatory ARMICS Training.	
<input type="radio"/> No - The Agency Head has not completed the mandatory ARMICS Training.	
<a href="#">Save and Quit</a>	<a href="#">Summary</a>
<a href="#">Previous</a>	<a href="#">Next</a>

Please note that if the Agency Head has not completed the mandatory ARMICS Training, your agency will be found non-compliant and a Corrective Action Plan will be required.

Our Agency Head and Fiscal Officer have reviewed this Certification, are in agreement with the agency's FY 2021 ARMICS Certification Statement, and agree to comply with ARMICS Standards and Cardinal CAPP Topic 10305, Internal Controls.

**Fiscal Officer  
Electronic Signature**

**Name:** Douglas Page  
**Email:** doug.page@doa.virginia.gov

**Agency Head  
Electronic Signature**

**Name:** David VonMoll  
**Email:** david.vonmoll@doa.virginia.gov

TERMS OF ASSURANCE AND CERTIFICATION

I hereby certify and provide reasonable assurance to the truthfulness and accuracy of the information provided in this ARMICS Self-Assessment Certification.

\* Please type your First and Last Name

Douglas Page

☐ Acceptance Checkbox:

I understand that by checking this box I acknowledge and agree to the above ARMICS Certification and the reported status of our agency's internal control. I further understand that my agency's certification status is subject to review by DOA and final certification status may change at DOA's discretion.

Save and Quit

Summary

TERMS OF ASSURANCE AND CERTIFICATION

I hereby certify and provide reasonable assurance to the truthfulness and accuracy of the information provided in this ARMICS Self-Assessment Certification.

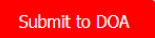
\* Please type your First and Last Name

David VonMoll

☒ Acceptance Checkbox:

I understand that by checking this box I acknowledge and agree to the above ARMICS Certification and the reported status of our agency's internal control. I further understand that my agency's certification status is subject to review by DOA and final certification status may change at DOA's discretion.

Submit to DOA

The Agency Head is confirming completion of ARMICS training and agreement with the Agency's ARMICS Certification Statement. Click "Submit to DOA"  to submit the survey.

## Survey Status Summary

Fiscal Year 2020 Agency Self-Assessment Survey/Questionnaire  
Agency 151 - DEPARTMENT OF ACCOUNTS

Thank you!! Survey was successfully submitted to the Department of Accounts

SUMMARY

PDF

SURVEY STATUS

Status Type	Status
Completion Status	Complete
Compliance Status	Compliant

You will receive confirmation that your survey was successfully submitted to DOA. Select “PDF” to view/print a copy of your agency’s certification.

PDF

Your Agency’s compliance status will depend on the product of the Self-Assessment Survey/Questionnaire.

## Example: ARMICS Self-Assessment Certification

Office of the Comptroller

Agency 151 - ARMICS Certification - FY 2021

### **ARMICS SELF-ASSESSMENT CERTIFICATION** **COMPLIANT WITH ARMICS STANDARDS**

**Agency Number: 151**

**Agency Name: DEPARTMENT OF ACCOUNTS**

Our agency's Management is responsible and accountable for:

1. The integrity and objectivity of the financial transactions and other information provided to the State Comptroller; providing reasonable assurance, the data provided for inclusion in the Commonwealth's Comprehensive Financial Report (ACFR) are accurate in all material respects; and that all disclosures necessary to obtain a thorough understanding of the Agency's financial activities have been included.
2. Providing reasonable assurance that internal control exists over the recording of financial transactions in the Commonwealth's General Ledger; compliance with the agency's financial reporting requirements; compliance with applicable laws and regulations; and stewardship over the Commonwealth's assets.
3. Establishing and maintaining an effective system of internal control; and completion of its control assessment of the agency-level risks and assessment of significant fiscal processes at the transaction level in accordance with Agency Management Internal Control Standards (ARMICS) and CAPP Topic 10305, Internal Control.

Based upon the results of our FY 2021 ARMICS Self-Assessment, we agree that we have fully completed an adequate assessment of internal control to reach a conclusion on the control environment at our agency. We agree that we are compliant with ARMICS in the following areas:

#### **Compliant Items**

- Developed a Code of Ethics.
- Documented/Tested/Assessed key elements of Control Environment.
- Conducted/Documented an Agency-Level Risk Assessment.
- Conducted/Documented Risk Assessment of each Agency-Level Fiscal Process.
- Documented/Tested/Assessed - Agency-Level Control Activities.
- Identified/Documented all Significant Agency Fiscal Processes.
- Assessed and tested all Significant Agency Fiscal Processes and the operation of their associated Control Actives at the Transaction-Level.
- Documented/Tested how the agency gathers, uses and disseminates information.
- Documented/Tested and assessed the effectiveness of the agency's monitoring activities.
- Agency CAN provide reasonable assurance that data provided in the ACFR are accurate in all material respects and all disclosures have been included to obtain an understanding of the agency's financial activities.
- Agency CAN provide reasonable assurance that internal control exists over recording of financial transactions in the Commonwealth's General Ledger, compliance with financial reporting requirements, compliance with applicable laws and regulations.
- Agency maintained adequate interaction with Service Provider Agency and received written assurance from "each" Service Provider Agency regarding the state of internal control.
- Agency maintained adequate interaction and oversight over third-party service providers; and obtained written assurances (SOC Reports) from the service provider regarding the state of internal control.
- Agency's Fiscal Officer has completed the mandatory ARMICS Training.
- Agency Head has completed the mandatory ARMICS Training.

Our Agency Head and Fiscal Officer have reviewed this Certification, are in agreement with the agency's FY



2021 ARMICS Certification Statement, and agree to comply with ARMICS Standards and Cardinal CAPP Topic 10305, Internal Controls.

**Fiscal Officer  
Electronic Signature**

**Name:** Douglas Page  
**Email:** doug.page@doa.virginia.gov

**Agency Head  
Electronic Signature**

**Name:** David VonMoll  
**Email:** david.vonmoll@doa.virginia.gov

**TERMS OF ASSURANCE AND  
CERTIFICATION**

I hereby certify and provide reasonable assurance to the truthfulness and accuracy of the information provided in this ARMICS Self-Assessment Certification.

\* Please type your First and Last Name

Douglas Page

☒ Acceptance Checkbox:

I understand that by checking this box I acknowledge and agree to the above ARMICS Certification and the reported status of our agency's internal control. I further understand that my agency's certification status is subject to review by DOA and final certification status may change at DOA's discretion.

**TERMS OF ASSURANCE AND  
CERTIFICATION**

I hereby certify and provide reasonable assurance to the truthfulness and accuracy of the information provided in this ARMICS Self-Assessment Certification.

\* Please type your First and Last Name

David VonMoll

☒ Acceptance Checkbox:

I understand that by checking this box I acknowledge and agree to the above ARMICS Certification and the reported status of our agency's internal control. I further understand that my agency's certification status is subject to review by DOA and final certification status may change at DOA's discretion.

## Example: ARMICS Survey Sample Status Results

Office of the Comptroller

Agency 151 - ARMICS Certification - FY 2021

SURVEY STATUS - AGENCY 151

Status Type	Status
Completion Status	Complete
Compliance Status	Compliant

I. CONTROL ENVIRONMENT

Question	Response	CAP Required
1. Has the agency developed and actively promoted a Code of Ethics?	Yes	No
2. Has the agency documented, assessed, and tested key elements of the Control Environment including, but not limited to:	Yes	No
a. Management philosophy		
b. Management's attitude towards risk		
c. Oversight by the agency's governing board		
d. Integrity and ethical values		
e. Promotion of ethics and appropriate conduct		
f. Organizational structure		
g. Assignment of authority and responsibility		
h. Workforce competence and human resource development		

II. RISK ASSESSMENT

Question	Response	CAP Required
3. Has the agency conducted and documented an Agency-Level Risk Assessment? This Risk Assessment should be coordinated with the strategic planning process overseen by the Department of Planning and Budget.	Yes	No
4. Has the agency conducted and documented Risk Assessments of each agency fiscal process as part of the documentation and assessment of Control Activities?	Yes	No

III. CONTROL ACTIVITIES - AGENCY AND TRANSACTION LEVEL

Question	Response	CAP Required
5. Has the agency documented, assessed, and tested the Agency-Level Control Activities applicable to:	Yes	No
a. All significant fiscal processes		
b. Accounting administration		
c. The Commonwealth's General Ledger		
d. Information systems		

6. Has the agency identified and documented all Significant Agency Fiscal Processes?	Yes	No
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#### IV. INFORMATION & COMMUNICATION

Question	Response	CAP Required
7. Has the agency documented, assessed, and tested how it gathers, uses, and disseminates information?	Yes	No

#### V. MONITORING

Question	Response	CAP Required
8. Has the agency documented, assessed, and tested the effectiveness of the agency's monitoring activities?	Yes	No

#### VI. COMMONWEALTH'S COMPREHENSIVE FINANCIAL REPORT (ACFR) ASSURANCE

Question	Response	CAP Required
9. Can agency management provide reasonable assurance the data provided for inclusion in the Commonwealth's Comprehensive Annual Financial Report (ACFR) are accurate in all material respects and that all disclosures necessary to obtain a thorough understanding of the Agency's financial activities have been included?	Yes	No

#### VII. FINANCIAL REPORTING, APPLICABLE LAWS & REGULATIONS AND STEWARDSHIP ASSURANCE

Question	Response	CAP Required
10. Agency management has performed the annual ARMICS assessment in accordance with Comptroller's Directives 1-07 and 1-08, and CAPP Topic 10305, <i>Internal Control</i> , and based on the results of this evaluation, can the agency provide reasonable assurance that internal control was operating effectively with the Agency as of June 30, 2021?	Yes	No

#### VIII. SERVICE PROVIDER AGENCY - INTERNAL CONTROL ASSURANCE

Question	Response	CAP Required
11. Did the agency (Primary Agency) use another agency (Service Provider Agency) to perform "significant fiscal processes" for the primary agency?	Yes	No

#### IX. THIRD-PARTY PROVIDER - INTERNAL CONTROL ASSURANCE

Question	Response	CAP Required
12. Did the agency use Third-Party Providers outside of the state to perform "significant fiscal processes" for the agency?	Yes	No

**X. REQUIRED ATTACHMENTS**

<b>Attachment Description</b>	<b>Attachment Name</b>
Agency-Level Risk Assessment	FY2021_AGY151_Agency_Level_Risk_Assessment.docx
List of Significant Agency Fiscal Processes	FY2021_AGY151_Significant_Fiscal_Processes.docx
Service Provider Agency Clause	FY2021_AGY151_Service_Provider_Agency_Clause.docx
Third-Party Service Provider Clause and SOC Reports	FY2021_AGY151_Third_Party_Service_Provider_Clause_and_SOC_Reports.docx
Agency Code of Ethics	FY2021_AGY151_Agency_Code_Of_Ethics.docx
Testing and assessment of key elements of the Control Environment	FY2021_AGY151_Testing_Assessment_Key_Elements_Control_Environment.docx
List of agency fiscal processes, the Risk Assessments associated with each one, and an assessment of Control Activities	FY2021_AGY151_Fiscal_Processes_Risk_Assessments.docx
Testing and assessment of Agency-Level Control Activities	FY2021_AGY151_Testing_Assessment_Agency_Level_Control_Activities.docx

**XI. FISCAL OFFICER CONFIRMATION**

<b>Question</b>	<b>Response</b>
1. Would you like to send an Email to the Fiscal Officer for signoff?	No
2. Has the agency's Fiscal Officer completed the mandatory ARMICS Training for Fiscal Officers, Managers, and Staff?	Yes
3. Fiscal Officer Signature: Signature: Douglas Page Signature Date: 05/23/2021	

**XII. AGENCY HEAD CONFIRMATION**

<b>Question</b>	<b>Response</b>
1. Would you like to send an Email to the Agency Head for signoff?	No
2. Has the Agency Head completed the mandatory ARMICS Training?	Yes
3. Agency Head Signature: Signature: David VonMoll Signature Date: 05/23/2021	

## Multi-Agency Certification

### Control Agencies

Fiscal Officers and Agency Heads with authority to certify for multiple agencies, including control agencies and sub-agencies, may select more than one agency in the ACS to include in a single assessment, providing all documentation and test work is applicable to all selected agencies.

Fiscal Officers responsible for multiple agencies may designate agency users for purposes of completing the assessment. To set up these designated users, provide a list of names, titles, agency selection and email addresses to [ARMICS@doa.virginia.gov](mailto:ARMICS@doa.virginia.gov).

DOA will add designated users to the ACS and provide them with temporary passwords. Once the temporary password is received, agency users may proceed to page 5 of the User's Guide for instructions on answering security questions and setting up a secure, permanent password.

Upon login, each Fiscal Officer or Agency User will need to select the agencies for survey completion/certification.

ARMICS Fiscal Year 2021 Agency Self-Assessment Survey/Questionnaire					
Please Select a Survey:					
	Agency Number	Agency Title	Status	Compliance	Last Activity
Not Started					
<input checked="" type="checkbox"/>	151	DEPARTMENT OF ACCOUNTS	Not Started		
<input checked="" type="checkbox"/>	162	DEPT OF ACCOUNTS TRANSFER PAYMENTS	Not Started		
<input checked="" type="checkbox"/>	997	DEPT OF ACCOUNTS-STATEWIDE ACTIVITIES	Not Started		
<input checked="" type="checkbox"/>	998	CITY/COUNTY TREASURERS	Not Started		
<input type="button" value="Start Selected Surveys"/>					
<b>Please Note:</b> ARMICS audit work papers are FOIA (Freedom of Information Act) Exempt. Personally Identifiable Information (PII) must not be included in any uploaded documentation.					

Once choosing "Start Selected Surveys" you will be taken into the survey and will notice all selected agencies appearing in the "title".

# Fiscal Year 2021 Agency Self-Assessment Survey/Questionnaire

Agencies 151,162,997,998

## I. CONTROL ENVIRONMENT

To demonstrate that the Control Environment internal control component is established and fully functioning, the agency must meet the following Minimum Requirements:

### 1. Has the agency developed and actively promoted a Code of Ethics?

Please select one of the options:

- ☒ Yes - Our agency has developed and actively promoted a Code of Ethics.  
*(NOTE: Requires upload of agency's "Code of Ethics").*
- ☐ No - Our agency has NOT developed and actively promoted a Code of Ethics.  
*(NOTE: Requires upload of "Corrective Action Plan" at the end of the survey).*

Save and Quit

Summary

Next

You don't have to complete the survey in its entirety and have the option of clicking "Save and Quit" to save your work within the survey. This will take you out of the survey and the survey status and compliance status will be displayed.

When logging back into the survey, click on "Edit" this will take you back to where you left off so that you can continue answering questions and uploading supporting documentation for survey completion.

## ARMICS Fiscal Year 2021 Agency Self-Assessment Survey/Questionnaire

Please Select a Survey:

Agency Number	Agency Title	Status	Compliance	Last Activity
<b>Incomplete</b>				
<a href="#">Edit</a>	151,162,997,998	DEPARTMENT OF ACCOUNTS	Incomplete	Compliant
				04/27/2021 15:52 PM

Please Note: ARMICS audit work papers are FOIA (Freedom of Information Act) Exempt.  
 Personally Identifiable Information (PII) must not be included in any uploaded documentation.

## Quick Login Information

### Temporary Password Account Set Up and Login for Fiscal Officers and Agency Heads

#### To get a new temporary password:

1. Go to <https://armics.doa.virginia.gov>
2. Click on the Forgot Password/ New Account link from the left menu
3. Enter [your agency e-mail address](#) in the User ID box
4. Click the "Submit" button
5. Click the "Send Password" button
6. Enter a pass phrase in the box.
7. Click the "Submit Pass Phrase" button
8. You will see a message stating that the new temporary password has been sent to your email address
9. You will receive the temporary password via email

#### To log in with the temporary password and set up the permanent security account:

1. Go to <https://armics.doa.virginia.gov>
2. Click on the Forgot Password/New Account link from the left menu
3. Enter [your agency email address](#) in the User ID box
4. Click the "Submit" button
5. Enter the temporary password received in the email and the pass phrase you selected above
6. Click the "Submit" button that is next to the "Pass Phrase" box
7. Enter a new permanent password in the "Password" box and also in the "Verify Password" box
8. Select two challenge questions from the dropdowns and enter a response for each
9. Enter a password hint
10. Click the "Submit" button at the top of the page
11. You should receive a message that the record was successfully updated.

You can now log in from the login page.

## Version Table

Version #	Date	Author	Comments
1.0	6/29/20	V Eppes-Ward	Initial Version of User's Guide
1.1	6/7/21	V Eppes-Ward	Revised for Multi Agency Certification and other minor edits
1.2			
1.3			