

WesternERM

Annual Financial Certification User Guide for Senior Staff

Note: This Attestation is only to be completed by the Senior staff with the financial delegations and those with names appearing in the Senior Staff distribution list per the communication email.

***This Attestation can not be delegated to anyone else.**

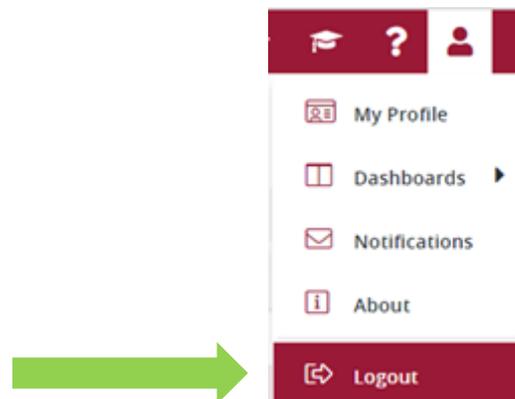
Access to WesternERM to complete your certification

WesternERM uses single sign-on authentication.

<https://erm.protecht.com.au/wsu/worms/client/app/widget.html?widget=Home>

A link to the Annual Financial Certification is provided in the email sent to all Senior Staff from the Office of the Vice-President (Finance and Chief Information Officer).

If you are a current user of WesternERM, please log-out using the Human icon at the top right corner and log back in.



The Explanatory Note provides the Background of the Annual Financial Certification exercise.

← Annual Financial Certification (Senior Staff)

Entry 1000127

DRAFT

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Explanatory Note

Questionnaire

Declaration

CORE

ID 1000127

Business Unit Audit and Risk - U53OBA

Last Modified by Beth Pellow on 26/11/2021 04:03:30 pm

Created by Beth Pellow on 26/11/2021 04:03:30 pm

Annual Financial Certification (Senior Staff) - Explanatory Note

1. Background

At the end of each financial year the Vice-Chancellor signs a certification contained in the Western Sydney University Financial Statements attesting that the financial reports are accurate and that expenditure during the year complied with legislation, contracts, agreements and program guidelines.

When providing this attestation, the Vice-Chancellor places reliance on a range of key administrative and financial controls across the University that exist in order to safeguard assets, bring income to account, control expenditure, identify financial risks and minimize the occurrence of fraud, waste, errors and the likelihood of breaching legislation and Western Sydney University policies.

The Audit & Risk Committee oversees the attestation process and has endorsed a procedure that recognises the wider accountabilities for internal financial controls and compliance that exist across all Western Sydney University operations.

Cancel

Save

The purpose of the questionnaire is outlined in point 2 of the Explanatory Note.

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2. Purpose of this questionnaire

The Annual Financial Certification Control Self-Assessment Questionnaire has been designed to assist you in your evaluation of your system of internal financial control within the context of an internal control framework widely adopted in North America known as COSO (after the name of the organisation that developed it - Committee of Sponsoring Organizations of the Treadway Commission) and NSW Treasury policy and guidelines paper Certifying the Effectiveness of Internal Controls Over Financial Information – TPP 17-06.

In brief, the framework involves management undertaking a self-assessment in 5 key areas of internal financial control activities as follows:

- Control Environment – organisational culture, integrity, ethics, operating style.
- Risk Assessment – identification of internal and external risks that may impact on objectives.
- Control Activities – policies and procedures, approvals, reconciliations, security of assets etc.
- Information and Communication – capture and provision of timely and accurate information.
- Monitoring – management and supervisory activities and independent evaluations.

The points contained in the questionnaire may not be applicable to all Schools or Business Units and you should not feel uncomfortable if you respond negatively or “Not Applicable” to an assertion. The COSO framework is based on generally accepted principles of good financial management/ governance but it is (necessarily) generic and there are always exceptions to the rule.

Further information regarding the COSO methodology can be found at <http://www.coso.org>

Western Sydney University policies and procedures referred to in this questionnaire can also be accessed at <http://policies.westernsydney.edu.au/masterlist.php> if necessary.

Point 3 details how will the information be used and Point 4 outlines what you need to do.

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3. How will the information be used

The outcomes from this process are reviewed, summarised and reported to senior executive (Senior Deputy Vice-Chancellor, Deputy Vice-Chancellors, Vice-Presidents and Deans) so that they may in turn provide a similar signed statement to the Vice-Chancellor regarding the integrity of internal financial control. This information will also be made available to our external auditors on request.

4. What do you need to do?

Step 1

Please provide, to the best of your knowledge, your opinion on each statement in this questionnaire (in the Questionnaire tab) by selecting the radio button.

Please make comment below to statement/assertion made if any were applicable to you but you did not answer "Agree".

You may wish to seek the assistance of staff under your direction when completing the questionnaire.

Step 2

Once all the questions are answered, sign the certification (in the Declaration tab), provide written comments on any significant financial matters or control issues if applicable and click "Save".

- To commence completing your attestation, click the Questionnaire tab. Complete the Staff Identification section by typing your name in the name field or clicking the ellipsis (three dots) and searching for your name.
- Select your Reporting Division/School by doing the same.
- Click **'+Create New'** to add Positions held (refer next slide).

← Annual Financial Certification (Senior Staff)

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Explanatory Note Questionnaire Declaration

Annual Financial Certification (Senior Staff) - Staff Identification

Name *

Aman Chand



Reporting Division/School *

Aman Chand

+ Create New

View

ID	Business Unit	From	Upto	Position/Job Title	Create Date	Created By	Last Modified D...	Last Modified By
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No data to display

Page 1 of 1

Click the calendar icon to select the 'From' date and 'Upto' date for the Position/Job Title held during the 2022 calendar year. Click 'Save' & Close.

Note: If you held more than one Position during 2022, please add multiple rows.

Position/s Held - 1002823 ✕

[Share](#) [Reports](#) [Copy](#) [Calculate](#) [History](#)

CORE ID 1002823 Business Unit Office of the Chief People Officer - U50UCA Last Modified by Beth Pellow on 30/11/2022 03:49:10 pm Created by Beth Pellow on 30/11/2022 03:49:10 pm ⌵

Position Held - Details ⌵

Please provide position details for current calendar year only.

From *  Upto * 

Position/Job Title *

[Cancel](#) [Save & Close](#)

Next, click the Questionnaire tab to begin your attestation. Please read the statement and select whether you 'Agree', 'Partially Agree', 'Disagree' or 'NA'.

Note: Comment is required if you select 'Partially Agree' or 'Disagree'.

Important – Please complete all questionnaires at once and 'Save' the form, or you will not be able to find your record when you return to it later.

← **Annual Financial Certification (Senior Staff)**

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Explanatory Note **Questionnaire** Declaration

Annual Financial Certification (Senior Staff) - Questionnaire

ANNUAL FINANCIAL CERTIFICATION - INTERNAL CONTROL QUESTIONNAIRE

CONTROL ENVIRONMENT

1. Demonstrated commitment to integrity and ethical values

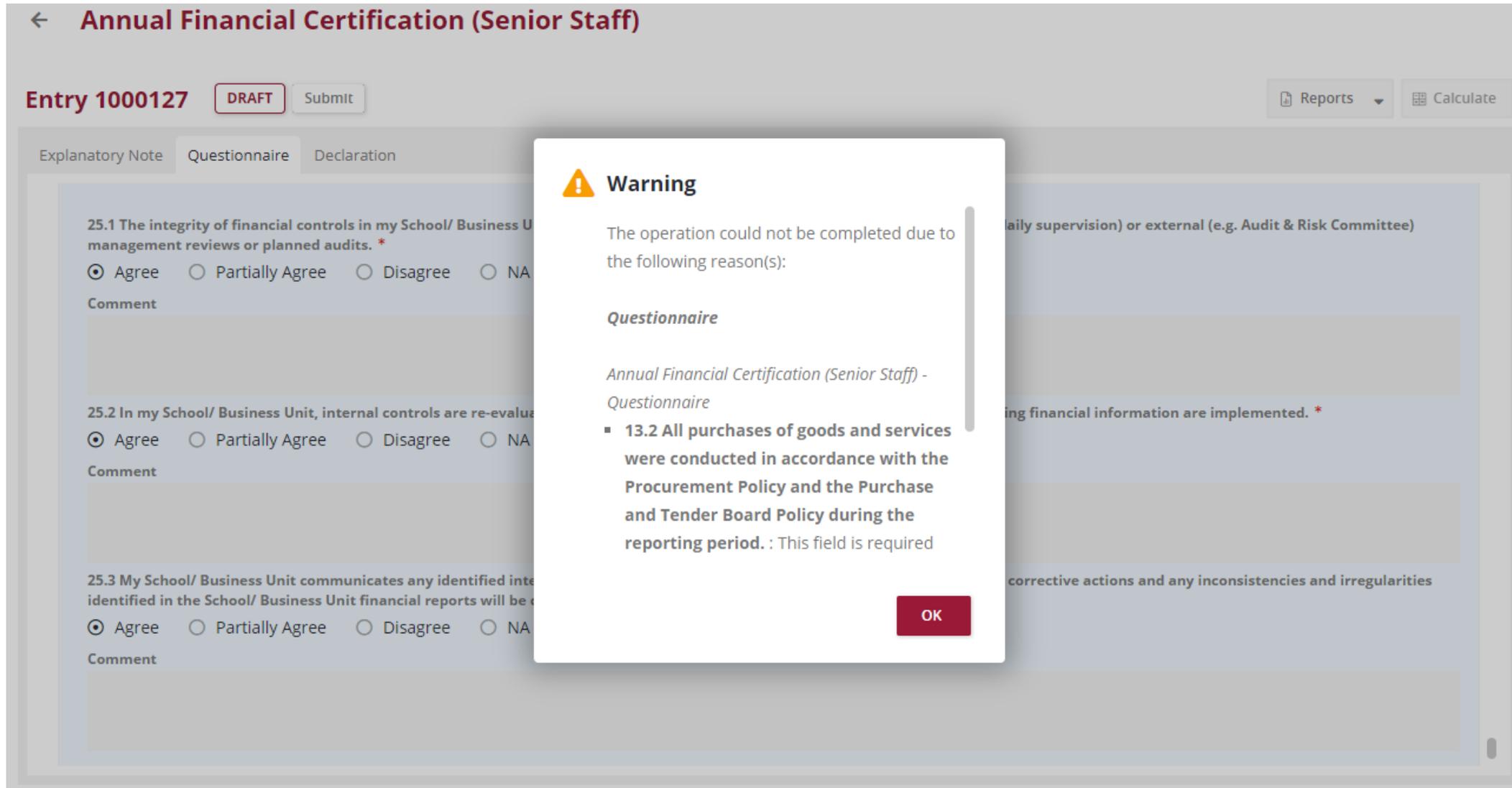
1.1 In my opinion, during the reporting period, staff of my School/Business Unit were aware of the importance of integrity and ethical behaviour and have adhered to the code of conduct and related policies. Any deviations identified were remedied in a timely and consistent manner. *

Agree Partially Agree Disagree NA

Comment

2. Legislative and policy compliance

Note: A Warning message will alert you if you do not answer a Question.



The screenshot shows a web-based questionnaire titled "Annual Financial Certification (Senior Staff)". The interface includes a back arrow, the title, and a status indicator "Entry 1000127" with "DRAFT" and "Submit" buttons. There are also "Reports" and "Calculate" buttons. The questionnaire is divided into sections: "Explanatory Note", "Questionnaire", and "Declaration". The "Questionnaire" section is active, showing questions 25.1, 25.2, and 25.3. Each question has radio button options for "Agree", "Partially Agree", "Disagree", and "NA", followed by a "Comment" field. A warning dialog box is overlaid on the screen, containing the following text:

Warning

The operation could not be completed due to the following reason(s):

Questionnaire

Annual Financial Certification (Senior Staff) - Questionnaire

- **13.2 All purchases of goods and services were conducted in accordance with the Procurement Policy and the Purchase and Tender Board Policy during the reporting period.** : This field is required

OK

Once you have completed all the Questionnaires, click 'Save'.

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25.1 The integrity of financial controls in my School/ Business Unit are independently and periodically evaluated via internal (e.g. daily supervision) or external (e.g. Audit & Risk Committee) management reviews or planned audits. *

Agree Partially Agree Disagree NA

Comment

25.2 In my School/ Business Unit, internal controls are re-evaluated if major changes in business operations or methods of processing financial information are implemented. *

Agree Partially Agree Disagree NA

Comment

25.3 My School/ Business Unit communicates any identified internal control deficiencies in a timely manner to all stakeholders for corrective actions and any inconsistencies and irregularities identified in the School/ Business Unit financial reports will be questioned and rectified prior to issue. *

Agree Partially Agree Disagree NA

Comment



Save

Next, click the Declaration tab and select your Divisional Head (SDVC&P, DVC&VP, VP) or Dean who you are submitting your attestation to.

Enter your Signature by typing your name in the 'Signature' field, and select the Date. **Click 'Save'.** **Finally, click the 'Submit' button.** A copy of your attestation will be sent to the Divisional Head/Dean nominated and the Office of Audit and Risk Assessment.

Entry 1005301 [DRAFT] [Submit]

Share Reports Calculate

Explanatory Note Questionnaire Declaration

Annual Financial Certification (Senior Staff) - Declaration

To *

Divisional Head/Dean Name

In respect of the period 1 January 2022 to 31 December 2022, I hereby certify that:

The Annual Financial Certification Control Self-Assessment Questionnaire has been completed by myself and the answers provided are, to the best of my knowledge, an accurate representation of internal controls noted in the questionnaire.

To the best of my knowledge, and after having made due enquiries, I can provide reasonable assurance that there are no material weaknesses in internal financial controls, or significant deficiencies in the design or operation of internal financial controls, that could adversely affect the University's ability to accurately and completely record, process, summarise and report financial information, except as follows:

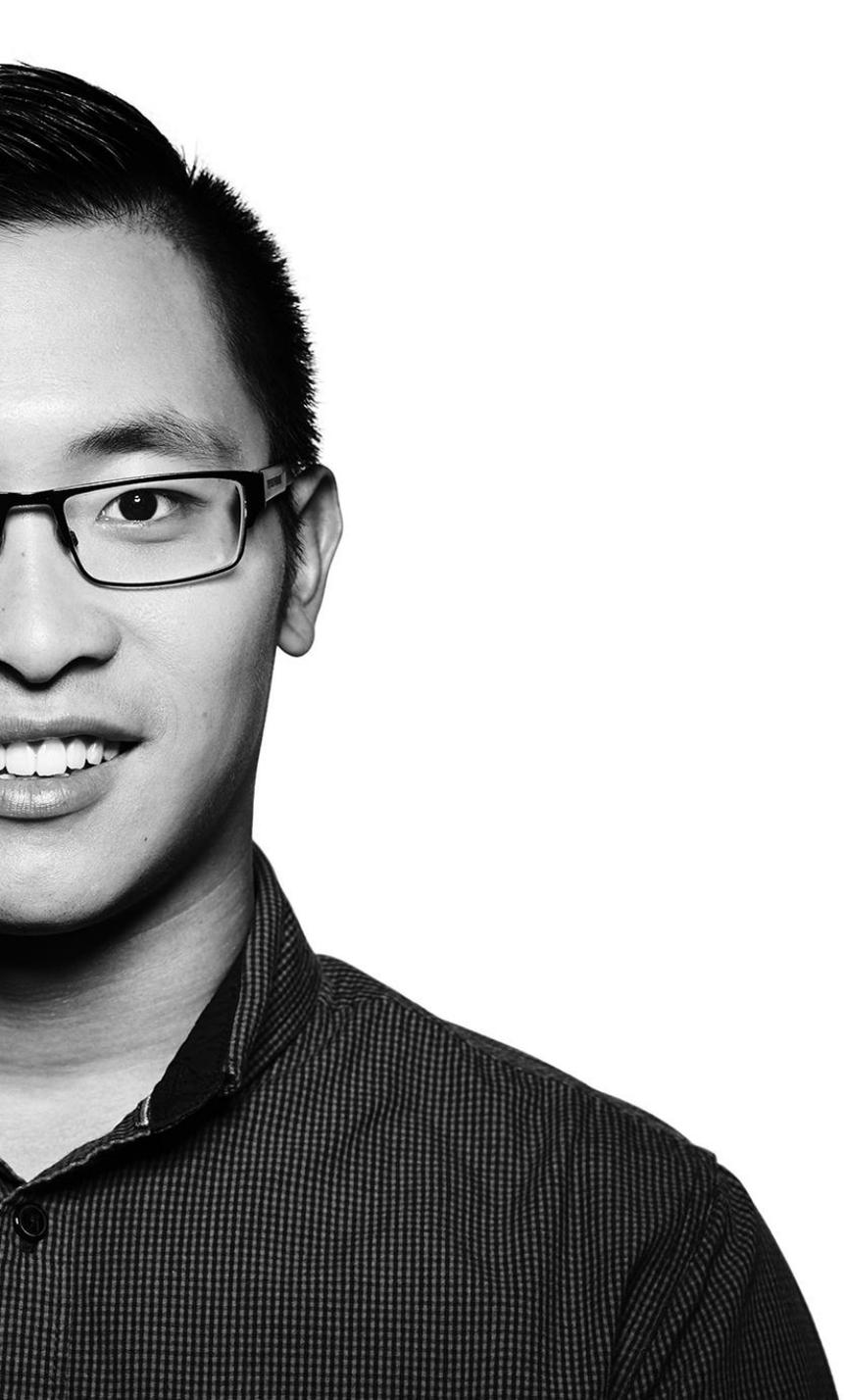
Nil.

Signature * Senior Staff Name

Date 28/11/2022

Cancel Save

This is the Executive of your portfolio. E.g. SDVC& P, DVC&VP's, VP or Dean



WESTERN SYDNEY
UNIVERSITY



Thank You

Should you have any questions or comments about your experience using Protecht, please contact the Office of Audit & Risk Assessment.

Aman Chand, Chief Audit & Risk Officer

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Email: aman.chand@westernsydney.edu.au

Sharan Kaur, Risk Business Partner

Mobile: 0404 349 995

Email: sharan.kaur@westernsydney.edu.au