# Online Gap Analysis Tool Step-by-Step

## Overview

The Internal Controls certification process requires that units complete a gap analysis for applicable finance-related processes for their departments on an annual basis to ensure proper controls are in place or identify corrective action plans to address control gaps. The M-Reports Online Gap Analysis tool provides units with the ability to complete their responses for each department within the unit and for management to review the results.

## Navigation

Log into Wolverine Access (<http://wolverineaccess.umich.edu>) > Faculty & Staff > Reporting > **M-Reports**.

|  |  |  |
| --- | --- | --- |
| M-Reports Landing Page |  |  |
| **1**  **2**  **3** |  | 1. Hover over the **COMPLIANCE** tab. 2. Hover over **Internal Controls Other Reports/Tools**. 3. Click **Gap Analysis**.   The Gap Analysis Summary by Process page shows a list of departments and completion status indicators for each of the major processes. |
| **Gap Analysis by Department - Summary by Process Page** | | |
| **7**  **10**  **8**  **9**  **5**  **4** |  | 1. To change the fiscal year, use the pull down menu. 2. To mark all the questions of all processes Not Applicable for a department, click the **N/A** button to the right of the department ID. To undo that action, click **Undo**. 3. Enter the rationale for the N/A response in the **Reason** box and click OK (not shown). 4. To view additional processes, use the **horizontal scroll bar**. 5. To view a list of the departments with a status of Not Started or with identified gaps for a process, click the appropriate **percentage link**. 6. To access the gap analysis tool for a specific process and department, click **Not Started, Started,** or **Completed** in the appropriate row and column. If a process is not applicable to the department, click **N/A**. 7. Click any linked process to view the same information by sub-process. |
| Gap Analysis by Department Process Page  **15** |  |  |
| **13**  **14**  **12**  **11** |  | 1. To access the first question in the first process for a department, click the linked **Dept ID**. 2. To indicate all the questions in a process are not applicable to a department, click the appropriate **Click to answer all as NA** link in the Process not applicable column.   **Note:** This is the same action as using N/A for a department on the Gap Analysis Summary by Process page. See Step 8.   1. To go to the first question in a sub-process for a department, click the appropriate **Completed, Started,** or **Not Started** link in the appropriate sub-process column. 2. To view information for all the questions within a sub-process, click the **plus sign** next to a sub-process. Click the **minus sign** to collapse the sub-process. 3. Click the **Print all questions and answers for this process** to go to a table view of the responses for the process. |
| Gap Analysis by Department Process Page (Printable View)  **17** |  |  |
| **16** |  | 1. If appropriate, export this information. Click on the **Export** icon and select an option, such as Excel. 2. Use the **bread crumbs** or appropriate links to move to the Questionnaire page. |

|  |  |  |
| --- | --- | --- |
| Questionnaire Page |  |  |
| **18**  **22**  **23**  **20**  **21**  **19**  **24** |  | 1. To move to a specific **sub-process**, click on it. To move to a specific question, hover over the **sub-process.** Click on the appropriate question in the resulting list. 2. Click the appropriate **response** to the question.   **Note:** Italicized text within a question indicates a change for the current fiscal year.  If the question/control is new for the current fiscal year, the question will include the text NEW CONTROL.   1. If appropriate, review the **prior year’s answers**. 2. If applicable, type information in **Comments** box and/or the **Corrective Action** area.   **Note:** Comments are required for a No response.   1. If appropriate, use the **Timing for Corrective Action calendar** to specify a completion date for the corrective action plan. 2. Use the **vertical scroll bar** to move down through the questions in the sub-process. 3. When you have responded to the last question, click **Next (Save)** to move to the questions for the next sub-process. If you need to go back to the previous sub-process, click **Prev (Save).**   **Note:** Answers are ONLY saved when Save has been clicked. If you are logged out due to a timeout or if you click on another button or tab, you will leave without saving your responses. |

## Related Resources

* Office of Internal Controls Web site: <http://www.finance.umich.edu/controls>

## Additional Assistance

Questions, feedback, and requests for enhancements can be submitted to the Information and Technology Services (ITS) Help Desk:

* Phone: 734-764-HELP (4357)
* Web: <http://www.its.umich.edu/help>