

GAO Topic of the Month – March 2023

Internal Control Self-Assessment Surveys – Annual Submissions & Tips for Success



Background

The State of Arizona Accounting Manual (SAAM) Topic 0526, covers Internal Control Self-Assessment (ICSA) Surveys. Surveys are posted to the GAO website every fiscal year in July, providing agencies with ten months to complete their required surveys by the last business day of the month ending **April 30th**. The purpose of the surveys is to provide both the agency and GAO an understanding of an agency's internal control structures. This month's topic includes tips for success when completing your agency's annual surveys.

Location of Internal Control Self-Assessment Surveys

Surveys are located on the GAO website at: <https://gao.az.gov/resources/internal-control-self-assessment-surveys>. There are two links provided for each survey. The **"Survey"** links are used to enter and submit agency survey responses in an online form. The **"PDF"** links are provided as a resource to be able to review all of the survey questions prior to submitting the surveys, which can help in gathering the necessary information prior to entering responses.

Survey Submission Process

The survey submission process is simple and allows you to access and submit surveys directly from the GAO website. Surveys can be submitted in any order at any time during the fiscal year but not later than April 30th. After that date, the surveys are **closed** for that fiscal year and no further entries or modifications can be made. All ICSA surveys are **due each fiscal year** and responses should reflect your agency's current fiscal year internal controls status.

Tips for Success

- Make sure to **enter the correct email address** when filing out each survey. Google will email the survey results **ONLY** to the email address entered on each Google Form submission. If this address is incorrect or invalid, you will not receive the email response.
- **Save the emails with your survey results for your records.** These emails serve as your agency's records, provide you with a copy of your responses, and contain an **edit feature link** that allows you to go back and edit the surveys up until the survey period has closed.
 - The **edit feature** becomes available after each survey has been submitted. It allows you to change responses without having to fill out and resubmit the entire survey. Edits can be made until the survey period has closed. When edited responses are resubmitted,

GAO Topic of the Month – March 2023

Internal Control Self-Assessment Surveys – Annual Submissions & Tips for Success

the email address entered on the survey submission will receive a new email with your latest responses to all of the survey's questions.

- Note: The edit feature will initially prompt you to either OPEN BLANK FORM or **proceed with making your edits**. If you choose to OPEN BLANK FORM, the entire survey will need to be completed as this starts a new, blank survey. This will cause a duplicate submission for your agency which will result in GAO reaching out to you to confirm which survey response you want to keep and will require a response from you. Therefore, it is NOT recommended to use the OPEN BLANK FORM option when editing and resubmitting an agency survey.
- Although GAO can provide a copy of your responses, we cannot recreate the autoreply email with the edit link. We do not have the ability to give you a link to modify your responses. **Only the automatically generated email has this edit link.**
- Login **using a Google browser**. Using a Google browser will minimize compatibility issues for end users when submitting surveys. All users can enter surveys regardless if your agency is a Google agency or not. Google automatically saves your progress for 30 days when logged in through a Google browser so you don't have to complete surveys in one sitting.
- To simplify your submission process, **examine survey content prior to submitting** the surveys by reviewing the PDF documents. This will help you to be prepared to answer all of the questions.
- GAO begins following up with agencies that have outstanding surveys in December. These follow ups consist of both emails and phone calls that continue through the survey period ending April 30th. **If you do not want these reminders, your agency can submit all surveys prior to December.**
- If you would like copies of previous or current year's surveys or if you have any questions, **contact us** at gaointernalaudit@azdoa.gov.

Conclusion

Surveys are available on the GAO website throughout the fiscal year between July and April. Each agency is responsible for the accurate and timely submission of their required surveys every fiscal year. Survey results with a link for editing are provided via an automated email after each survey has been submitted. Retaining these emails will serve as your agency's records and will reduce administrative time spent requesting and receiving survey copies from GAO. It also allows you to monitor your agency's progress year over year. If your agency has any questions regarding the annual ICSA Surveys, please contact us at gaointernalaudit@azdoa.gov.

Resources

- SAAM 0526 – Internal Control Self-Assessment Surveys
- <https://gao.az.gov/resources/internal-control-self-assessment-surveys>