

Banner: Administrative Services System UM–Missoula

FEBRUARY 2010 09DP-08 IS AUDIT SUMMARY

Introduction

The Banner system is used by The University of Montana–Missoula (UM) to assist in the administration of financial, human resource, student, and financial aid records. Banner consists of baseline functionality, as delivered by a third party vendor, and customized functionality through modifications developed by UM. Banner is maintained by UM departments responsible for data (Financial Aid, Registrars Office, etc.) with hardware and modification support handled by UM’s Department of Information Systems and Technology. Within the department, hardware support is provided by Central Systems Support Services while modification support is provided by Enterprise Information Systems.

The Banner system consists of four modules:

- ◆ Finance – manages UM financial data including budget, accounts, ledgers, purchases, and payments.
- ◆ Human Resources – manages UM employment information and payroll processing including job and employee information, taxes, benefits, and deductions.
- ◆ Student Services – manages UM student academic information including admissions, class registration, course information, rosters, grading, and enrollment status of students.
- ◆ Financial Aid – manages the UM student financial aid process from the receipt of the student’s financial aid form through needs assessment and award issuance.

To help determine system risks, we reviewed system processes and changes, and considered prior audit testing and Banner delivered processing. Although our risk assessment covered the entire UM Banner system, this audit focused on high risk areas of the Finance and Financial Aid modules. Audit work was conducted to ensure:

- ◆ access to Banner functionality is limited to users with identified business needs
- ◆ modifications to Banner follow UM change management procedures
- ◆ select Banner processing controls function as UM management intends

Audit Findings

This report discusses the work performed during this audit. Overall, we did not identify any significant control weaknesses. We noted access is limited, change control procedures are followed, and select processing controls function as intended. As a result, there are no recommendations in this report.

Overall We Identified

no significant control weaknesses