

UK Internal Audit (UKIA) Update for FY 2014 (as of 12-31-2013)

Not Engaged	In Progress	Reporting Phase	Report Issued	Metric Achieved	Metric Not Achieved
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FY 2014 UKIA Approved WorkPlan		
Compliance Program		
1	Continuous Auditing	
2	Continuous Audits	
Business/Operations Audits		
3	College of Engineering	
4	Pharmaceutical Management	
5	Undergraduate Education	
6	FERPA (Family Education Rights & Privacy Act)	
7	Athletics	
7	Student Affairs	
8	Center for Excellence in Rural Health	
9	Student Financial Aid	
10	Hospital Cash Operations	
11	Grants	
12	Follow-up Audits	
Information Technology Audits		
11	Research (UKRF)	
12	HIPAA	

FY 2014 UKIA Unplanned Reviews		
1	Lockbox Inventory	
2	Consultation - Fundraising Raffle	
3	Consultation - Business Continuity Plan	
4	Consultation - Year-end Credit Card Gifts	
5	Consultation - Procard Documentation	
6	Consultation - Reconciling Gift & Endowment Income	
7	Consultation - Payroll Authorization Record Process	
8	Consultation - E-Record Retention of Timecards	
9	Consultation - Procard Editing Process	
10	Consultation - Retention of Check Copies	
11	Advisory Review - Electronic Document Retention	
12	Advisory Review - Integrated Business Units	
13	Advisory Review - Pledges	
14	Advisory Review - Supply Center Emergency Purchase Orders	
15	Investigation - Mining Engineering Department	
16	Comprehensive Review - College of Dentistry Billings & Collections	
17	Inquiry - Donovan Fellowship	
18	Other External Activities	

FY 2014 UKIA Audit Coverage By Enterprise Division		
Academic Coverage		
Number of Reviews, Committees, Consultations	10	
Project Hours	3,061	
UK HealthCare		
Number of Reviews, Committees, Consultations	12	
Project Hours	961	
Finance and Administration		
Number of Reviews, Committees, Consultations	23	
Project Hours	1,142	
Campus		
Number of Reviews, Committees, Consultations	12	
Project Hours	548	
UK Administration (Includes Athletics)		
Number of Reviews, Committees	7	
Project Hours	505	
Affiliates		
Number of Reviews, Committees	2	
Project Hours	50	

FY 2014 UKIA Metric Update	
Productivity	
Goal @ 75%	
Performance @ 82% (6,751 Direct Hours; 8,248 Total Hours)	
Infrastructure	
Hours vs. Direct Hours - Goal @ 5% of Direct Hours	
Performance @ 7% (Infrastructure 484 Hrs; 6,751 Direct Hrs)	
Recommendations Accepted (Requiring Management Response)	
Goal @ 75%	
Performance @ 100%	
Survey Results	
Goal @ 3.0 (average scale 1 is not satisfied and 4 is very satisfied)	
Performance @ 3.21 average	
Audit Duration	
Goal @ 6 - 12 weeks	
Performance @ 4 weeks	
WorkPlan Completion Rate	
Goal @ 100%	
Performance @ 8%	