

UK Internal Audit (UKIA) Update for FY 2014 (as of 3-29-2014)

Not Engaged	In Progress	Reporting Phase	Report Issued	Metric Achieved	Metric Not Achieved
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FY 2014 UKIA Approved Work Plan		
Compliance Program		
1	Continuous Auditing - Duplicate Vendors	
2	Continuous Auditing - Employee / Vendor Match	
3	Continuous Audits - Cash Handling	
4	Continuous Audits - Human Resources	
Business/Operations & Information Technology Audits		
5	College of Engineering - Centers	
6	College of Engineering - Departments	
7	Pharmaceutical Management	
8	Athletics - Contracts	
9	Athletics - Camps	
10	Student Affairs - Assessments	
11	Student Affairs - Disability Resources Center	
12	Center for Excellence in Rural Health	
13	Follow-up Audits	
14	Research (UKRF) - Information Technology	
15	HIPAA - Information Technology	
16	Athletics - Information Technology	

FY 2014 UKIA Unplanned Reviews		
1	Lockbox Inventory	
2	Document Retention (5 projects)	
3	Procard Process (2 projects)	
4	Fundraising Process (2 projects)	
5	Operational Efficiency (2 projects)	
6	Business Continuity Plan	
7	Account Reconciliation	
8	Integrated Business Units	
9	Pledges	
10	Supply Center Emergency Purchase Orders	
11	PAR Process	
12	Mining Engineering Department	
13	UK Program for Bioethics	
14	College of Dentistry Billings & Collections	
15	HR Compensation	
16	Donovan Fellowship	
17	College of Dentistry	
18	Other External Activities	

FY 2014 UKIA Audit Coverage By Enterprise Division		
Academic Coverage		
Number of Reviews, Committees, Consultations	13	
Project Hours	4,014	
UK HealthCare		
Number of Reviews, Committees, Consultations	17	
Project Hours	1,310	
Finance and Administration		
Number of Reviews, Committees, Consultations	23	
Project Hours	2,284	
Campus		
Number of Reviews, Committees, Consultations	13	
Project Hours	809	
UK Administration (Includes Athletics)		
Number of Reviews, Committees	7	
Project Hours	669	
Affiliates		
Number of Reviews, Committees	2	
Project Hours	72	

FY 2014 UKIA Metric Update	
Productivity	
Goal @ 75%	
Performance @ 83% (10,124 Direct Hrs; 12,222 Total Hrs)	
Infrastructure	
Hours vs. Direct Hrs - Goal @ 5% of Direct Hrs	
Performance @ 10% (Infrastructure 966 Hrs; 10,124 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 @ 6 weeks	
Work Plan Completion Rate	
Goal @ 100%	
Performance @ 25%	