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Office of the President
December 13, 2016

Members, Audit and Compliance Committee:

PROPOSED INTERNAL AUDIT FISCAL YEAR 2016-17 WORK PLAN

Recommendation: that the proposed Internal Audit Fiscal Year 2016-17 Work Plan be approved for the third quarter of the 2016-17 Fiscal Year.

Background: Per the Internal Audit Charter, the Committee is required to review and approve the Internal Audit Work Plan at least annually. The third quarter Work Plan is attached.

Action taken: Approved Disapproved Other _____

Proposed Internal Audit Fiscal Year 2016-17 Work Plan (Third Quarter)

I	Compliance Program	Assignments	Description
1	Current Activity	1	Carry Forward Activity
2	Follow-up Reviews	0	Evaluation Resolutions
3	Process Validation (Unannounced Audits)	3	Unannounced audits planned
II	Business/Operations	Assignments	Description
1	Current Activity	12	Carry Forward Activity
2	Follow-up Reviews	2	Evaluation Resolutions
3	Physician Coding	1	New 3 rd Quarter (Data Integrity)
4	Data Center	1	New 3 rd Quarter (Data Confidentiality)
5	Unplanned Activities	-	Inquiries, Investigations, Mgmt. Requests, and Consultations
III	Information Technology	Assignments	Description
1	Current Activity	14	Carry Forward Activity
2	Follow-up Reviews	7	Evaluation of Resolutions
4	Business/Operations	2	Application Configuration and Information Security
5	Compliance Program	0	Application Configuration and Information Security
6	Data Mining	3	Data Analytics
7	Unplanned Activities	-	Inquiries, Investigations, Mgmt. Requests, and Consultations
IV	UKIA Continuous Activities	Infrastructure Improvement and Knowledge Transfer	