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Office of the President
September 15, 2017

Members, Audit and Compliance Committee:

PROPOSED INTERNAL AUDIT FISCAL YEAR 2017-18 WORK PLAN

Recommendation: that the proposed Internal Audit Fiscal Year 2017-18 Work Plan be approved for the second quarter of the 2017-18 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 second quarter Work Plan is attached.

Action taken: Approved Disapproved Other _____

Proposed Internal Audit Fiscal Year 2017-18 Work Plan (Second Quarter)

I	Compliance Program	Assignments	Description
1	Current Activity	0	Carry Forward Activities
2	Process Validation (Unannounced Audits)	3	Unannounced / Surprise Audits - Planned
3	Transaction Validation	3	Data Mining Exceptions (Information Technology – Section III.3)
II	Business/Operations	Assignments	Description
1	Current Activity	4	Carry Forward Activities
2	College of Dentistry (New 2 nd Qtr.)	1	Inventory Management
3	New Activities	1	Unplanned – Requests and Consultations
III	Information Technology	Assignments	Description
1	Current Activity	2	Carry Forward Activities
2	Compliance Program	3	Application Configuration, Information Security, and Data Mining
3	Business/Operations	0	Evaluations based on CoBit Model
4	New Activities	2	Unplanned – Requests and Consultations
IV	UKIA Continuous Activities	Assignments	Description
1	Follow-Up Reviews	5	Audit Process and Infrastructure Improvements
2	Presentation and Seminars	2	Infrastructure Improvement and Knowledge Transfer
3	Investigations/Inquiries	5	Focus on Fraudulent Activities
4	Partnerships/Contacts	15	Process Owner Collaboration and Risk Communication