



# **Fiscal Year 2019 Activity Update**

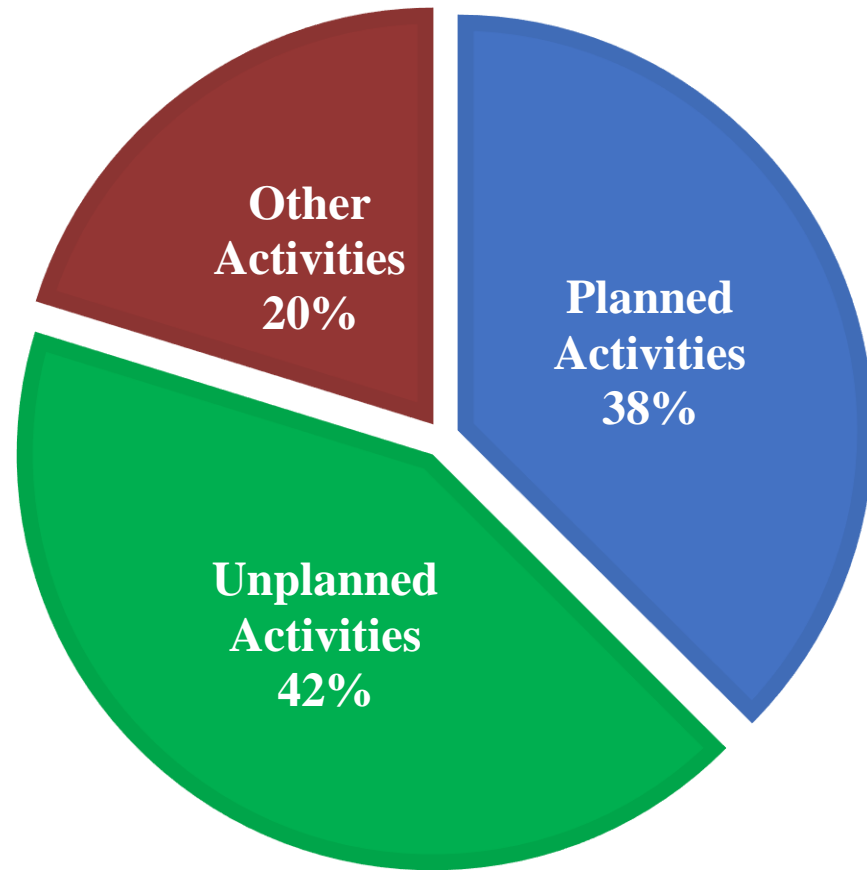
UK Internal Audit

April 30, 2019



# Fiscal Year 2019 Year-to-Date Activities

Category	Hours	Percent
Unplanned Activities	6,442	42%
Planned Activities	5,851	38%
Other Activities*	3,082	20%
Total	15,375	100%
Excluded**	2,292	

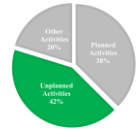


\* Partnerships, Trainings, and Meetings

\*\* General Administration and Leave Time



# Unplanned Activities



Project Type	Assignment	FY 19 / Total Hours	3.31.19 Status
Assessment Reviews	2018 AS01 Endowment Assessment	9 / 159	Closed
	2019 AS01 Institutional Research Data Management	1,121 / 1,121	In Progress
	<b>TOTALS</b>	<b>1,130 / 1,280</b>	
Consultations	2018 CN01 Office of Philanthropy	96 / 583	Completed
	Special Projects (Agency Accounts, Onsite Sales, etc.)	281 / 281	Completed
	2018 CN02 Business and Economics	12 / 48	Closed
	2017 CN04 Dentistry Consultation	138 / 1,044	In Progress
	2019 CN01 Substance Use Disorder (SUD) Contracting	982 / 982	In Progress
	<b>TOTALS</b>	<b>1,509 / 2,938</b>	



# Unplanned Activities



Project Type	Assignment	FY 19 / Total Hours	3.31.19 Status
Inquiries / Investigations	2018 INQ06 Construction Change Orders	218 / 2,272	Completed
	2019 INQ02 Dentistry Scrap Metal	483 / 483	Completed
	2019 INQ03	751 / 751	Completed
	2018 INQ01	1 / 178	Closed
	2019 INQ06	154 / 154	Closed
	2018 INQ10	1,520 / 1,794	In Progress
	2018 INQ11	117 / 513	In Progress
	2018 INQ12	54 / 85	In Progress
	2019 INQ01	206 / 206	In Progress
	2019 INQ04	1 / 1	In Progress
	2019 INQ05	225 / 225	In Progress
	2019 INQ08	39 / 39	In Progress
	Post-Investigation Activities	34 / 34	In Progress
	<b>TOTALS</b>	<b>3,803 / 6,735</b>	



# Planned Activities



Project Type	Assignment	FY 19 / Total Hours	3.31.19 Status
Comprehensive Reviews	2017 MC06 Network Medical Devices Review	39 / 698	Completed
	2018 CC01 Student Account Services	101 / 1,918	Completed
	2019 MC01 Center of Excellence in Rural Health	378 / 537	Completed
	2018 CC04A UK Information Technology	526 / 940	In Progress
	2019 CC01 HR Benefits Application	220 / 220	In Progress
	2019 MC02 Health Insurance Portability and Accountability Act (HIPAA)	135 / 135	In Progress
	2019 MC04 Ryan White Grant Review	158 / 158	In Progress
	Pending (1)	224 / 224	In Progress
	<b>TOTALS</b>	<b>1,781 / 4,830</b>	
Information Technology	2018 CC04B UK IT (Data Center Review)	465 / 1,087	In Progress
	2018 IT01 Cybersecurity	309 / 360	In Progress
	<b>TOTALS</b>	<b>774 / 1,447</b>	



# Planned Activities



Project Type	Assignment	FY 19 / Total Hours	3.31.19 Status
Repetitive Auditing Programs	2018 RA03 Pharmacology & Nutritional Science ProCard	5 / 190	Completed
	2019 RA04 Center for Academic Resources & Enrichment ProCard	291 / 291	Completed
	2019 RA05 UKHC Patient Account Services	275 / 275	Completed
	Post-Audit Activity	30 / 30	Closed
	2019 RA01 Student Financial Aid Verification	522 / 522	In Progress
	2019 RA02 UKHC Nursing – Fair Labor Standards Act	238 / 238	In Progress
	2019 RA03 Community & Leadership Development ProCard	220 / 220	In Progress
	2019 RA07 CAFE Human Environmental Sciences ProCard	212 / 212	In Progress
	2019 RA08 Athletics Business Office ProCard	47 / 47	In Progress
	<b>TOTALS</b>	<b>1,840 / 2,025</b>	
Data Mining	2019 DA01 Enrollment Management Student	8 / 8	In Progress
	2019 DA02 Duplicate Vendor	211 / 211	In Progress
	2019 DA04 Employee / Vendor Match	26 / 26	In Progress
	<b>TOTALS</b>	<b>245 / 245</b>	



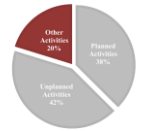
# Planned Activities



Project Type	Assignment	FY 19 / Total Hours	3.31.19 Status
Follow-Up Reviews	2018 FR03 Cooperative Extension Services	67 / 1,041	Completed
	2018 FR04 College of Education ProCard & FERPA	2 / 172	Completed
	2018 FR05 Body Bequeathal	1 / 667	Completed
	2018 FR06 College of Law ProCard & FERPA	24 / 143	Completed
	2018 FR09 Ambulatory Pharmacy Services ProCard	12 / 135	Completed
	2018 FR10 Mining Engineering Foundation	10 / 182	Completed
	2019 FR01 School of Music	930 / 934	Completed
	2019 FR02 Pharmacology & Nutritional Science ProCard	147 / 147	Completed
	Pending (2)	18 / 18	Closed
	TOTALS	1,211 / 3,439	



# Other Activities



Project Type	Assignment	FY 19 Hours	3.31.19 Status
Partnerships	2019 CP01 BE22FBD9 (Huron)	37	Closed
	2019 CP03 Financial Operations	70	In Progress
	2019 CP06 College of Medicine Expansion Project	344	In Progress
	<b>TOTALS</b>	<b>451</b>	
Training	Kentucky Auditors Meeting	40	Completed
	Continuing Professional Education	591	Ongoing
	HR Training & Development – Fraud Seminars	33	Ongoing
	<b>TOTALS</b>	<b>664</b>	
Meetings	Chief Audit Executive (CAE)	178	Ongoing
	Committee	310	Ongoing
	Information Technology Staff & Infrastructure	373	Ongoing
	Staff	273	Ongoing
	Team	833	Ongoing
	<b>TOTALS</b>	<b>1,967</b>	





## Internal Audit Mission Statement

Support UK in its pursuit of excellence by providing expert analysis and advice to champion the achievement of management objectives.