

ACC 1

Office of the President
September 9, 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 second 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 second quarter Work Plan is attached.

Action taken: Approved Disapproved Other _____

Work Plan Approval

ACC1- Proposed Work Plan 2nd Quarter

1	Compliance Program	Assignments	Description
1	Current Activity	0	Carry Forward Activity
2	Follow-up Reviews	2	Evaluation Resolutions
3	Process Validation (Unannounced Audits)	7	Unannounced audits planned
4	Data Mining	0	Data Analytics
2	Business/Operations	Assignments	Description
1	Current Activity	10	Carry Forward Activity
2	Follow-up Reviews	2	Evaluation Resolutions
3	Mobile Medical Device	1	New 2nd Quarter
4	Free Application for Federal Student Aid (FAFSA)	1	New 2nd Quarter
3	Information Technology	Assignments	Description
1	Current Activity	10	Carry Forward Activity
2	Follow-up Reviews	4	Evaluation of Resolutions
3	Compliance Program	5	Data Analytics
4	Business/Operations	2	Application Configuration and Information Security
5	HIPAA	1	New 2nd Quarter
4	UKIA Continuous Activities	Assignments	Description
1	Continuous Improvement	1	Audit Process and Infrastructure Improvements
2	Continuous Learning	1	Presentations and Seminars
3	Unplanned Activities	3	Inquiries, Investigations, Management Requests and Consultations