

# ACC 2

Office of the President  
February 23, 2018

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 fourth 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 fourth quarter Work Plan is attached.

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Action taken:     Approved     Disapproved     Other \_\_\_\_\_

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

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