

UK Internal Audit (UKIA) Update for FY 2014 (as of 1-31-2014)

Not Engaged	In Progress	Reporting Phase	Report Issued	Metric Achieved	Metric Not Achieved
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FY 2014 UKIA Approved Work Plan		
Compliance Program		
1	Continuous Auditing	
2	Continuous Audits	
Business/Operations Audits		
3	College of Engineering	
4	Pharmaceutical Management	
5	Undergraduate Education	
6	FERPA (Family Education Rights & Privacy Act)	
7	Athletics	
7	Student Affairs	
8	Center for Excellence in Rural Health	
9	Student Financial Aid	
10	Hospital Cash Operations	
11	Grants	
12	Follow-up Audits	
Information Technology Audits		
11	Research (UKRF)	
12	HIPAA	

FY 2014 UKIA Unplanned Reviews		
1	Lockbox Inventory	
2	Document Retention (5 projects)	
3	Procard Process (2 projects)	
4	Fundraising Process (2 projects)	
5	Operational Efficiency (2 projects)	
6	Business Continuity Plan	
7	Account Reconciliation	
8	Integrated Business Units	
9	Pledges	
10	Supply Center Emergency Purchase Orders	
11	PAR Process	
12	Mining Engineering Department	
13	UK Program for Bioethics	
14	College of Dentistry Billings & Collections	
15	HR Compensation	
16	Donovan Fellowship	
17	Other External Activities	
18		

FY 2014 UKIA Audit Coverage By Enterprise Division		
Academic Coverage		
Number of Reviews, Committees, Consultations	11	
Project Hours	3,375	
UK HealthCare		
Number of Reviews, Committees, Consultations	15	
Project Hours	1,059	
Finance and Administration		
Number of Reviews, Committees, Consultations	22	
Project Hours	1,552	
Campus		
Number of Reviews, Committees, Consultations	13	
Project Hours	656	
UK Administration (Includes Athletics)		
Number of Reviews, Committees	7	
Project Hours	603	
Affiliates		
Number of Reviews, Committees	2	
Project Hours	54	

FY 2014 UKIA Metric Update	
Productivity	
Goal @ 75%	
Performance @ 83% (7,991 Direct Hours; 9,631 Total Hours)	
Infrastructure	
Hours vs. Direct Hours - Goal @ 5% of Direct Hours	
Performance @ 9% (Infrastructure 692 Hrs; 7,991 Direct Hrs)	
Recommendations Accepted (Requiring Management Response)	
Goal @ 75%	
Performance @ 100%	
Survey Results	
Goal @ 3.0 (average scale 1 is not satisfied and 4 is very satisfied)	
Performance @ 3.21 average	
Audit Duration	
Goal @ 6 - 12 weeks	
Performance @ 4 weeks	
Work Plan Completion Rate	
Goal @ 100%	
Performance @ 8%	