Audit Status Report
As of March 13, 2014

FY2014 Audit Plan

*Italic Items* - have been completed or are in progress

**External Financial Audit Support:**

<table>
<thead>
<tr>
<th>Year-end Cutoff</th>
<th>Cash</th>
</tr>
</thead>
<tbody>
<tr>
<td>Procurement Card</td>
<td>Auxiliary Revenues</td>
</tr>
<tr>
<td>Payroll</td>
<td>Unexpended Plant Fund Additions</td>
</tr>
<tr>
<td>Journal Entries</td>
<td>Search for Unrecorded Liabilities</td>
</tr>
<tr>
<td>Cash Disbursements &amp; Bank Transfers</td>
<td></td>
</tr>
</tbody>
</table>

**Audits and Projects:**

**University of Alaska Anchorage:**
- Student
- Department Review
- Subcontract Monitoring
- Restricted Funds Monitoring* (FY13)
- Departmental Review** - Mat-Su College Phase II (FY13)

**University of Alaska Fairbanks:**
- Student
- Department Review*
- Athletics

**University of Alaska Southeast:**
- Sitka Campus Title III (FY13)

**Statewide:**
- Department Review
- Training

**Function and System Reviews:**
- Budget
- Construction Project Management and Operations Planning
- Contract Authorization and Administration
- Risk Management

**Information Systems Reviews:**
- OnBase Access Controls**
- Mobile Technology Security
- Records Management and Data Disposal
- Business Continuity
- Banner Access Controls** (FY13)
- Data Integrity (FY13)

**Ongoing Audits:**
- Follow-up Auditing
- Continuous Controls Auditing

**Special Requests**
- ProCard – UAA, UAF, UAS
- Electronic Research Administration

**Investigations**
- #1 – Confidential
- #2 – Confidential
- #3 – Confidential
- #4 - Confidential
- #5 - Confidential
- #6 - Confidential

*Specific departments/areas to be determined later
**Carried forward from FY13
1. **FY2014 Audit Plan Progress and Department Staffing**
   a. Three full-time auditors and a part time student intern.
   b. One vacancy for a full-time auditor.

2. **Audit Reports:**
   a. Preliminary reports issued January 15, 2014 with formal response due March 19, 2014:
      - UAA Mat-Su College Phase II
      - UAA Restricted Funds Budget and Expenditure Monitoring
   b. Preliminary reports issued January 16, 2014 with formal response due March 19, 2014:
      - UAA Disability Support Services

3. **Audits in Progress:**
   a. Sitka Campus Title III
   b. Data Integrity – Student Enrollment Records

4. **Support and Consultation Activities**
   d. In progress:
      i. University regulation and hotline for fraud, waste and abuse.
      ii. Development of the FY15 Annual Audit Plan.
      iii. Business continuity (Kuali Ready implementation).
      iv. Assistance with risk management identification and risk planning processes.
      v. Internal control discussions with staff system wide (upon request).
External Audit Status Report
As of March 13, 2014

State Legislative Audit Activities

None

External Audit Reports & Activities

Work in Progress:

1. Sikuliaq Research Vessel (NSF)

2. FY14-FY16 Facilities and Administrative Rate Proposal (DCAA)