



University of Alaska Board of Regents Audit Committee Meeting

Fairbanks, Alaska
June 7, 2013

Presented by:

Nichole Pittman, CIA, CISA

Chief Audit Executive

Statewide Office of Audit and Consulting Services



Board of Regents Audit Committee Meeting

Agenda Item **VI.B** Internal Audit Status Report

Progress of FY13 Annual Audit Plan

- Reports Issued:
 - UAF Departmental Cash Receipts and Accounts Receivable – Final
 - UAA Departmental Cash Receipts - Draft
 - Sponsored Programs Effort Reporting - Preliminary
 - Outsourced IT Services - Preliminary

Progress of FY13 Annual Audit Plan

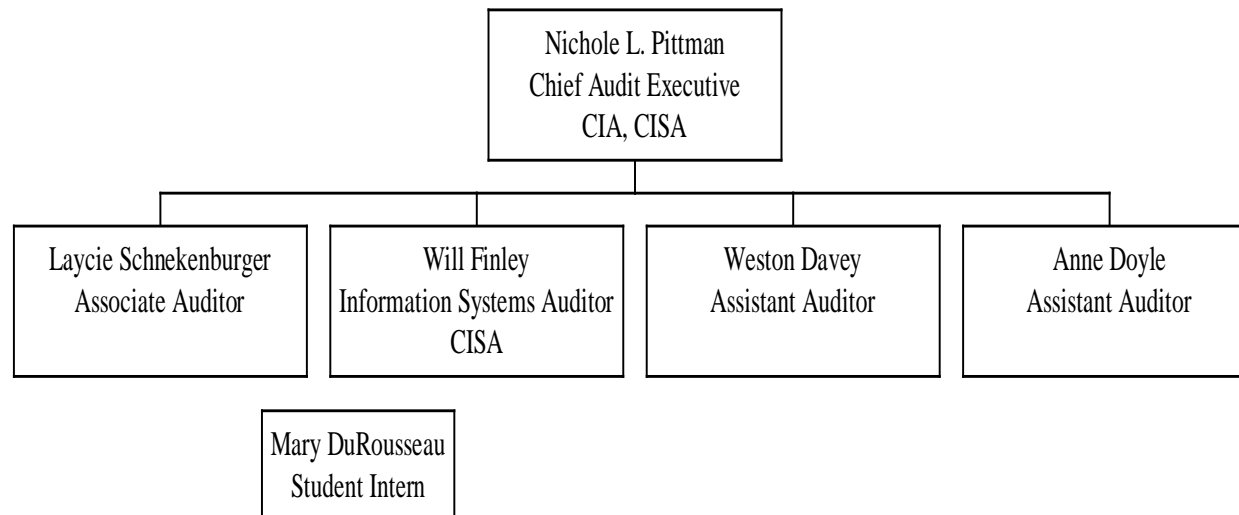
- Reports in progress:
 - Banner Access Controls
 - President's Residence Maintenance
 - Fraud and Ethics Incident Reporting
- Fieldwork wrapping up or in progress:
 - Mat-Su College
 - UAA Restricted Funds
 - Sitka Campus Title III Compliance
 - Data Integrity
- Ongoing:
 - Follow-up Auditing
 - Continuous Controls Auditing using ACL

Progress of FY13 Annual Audit Plan

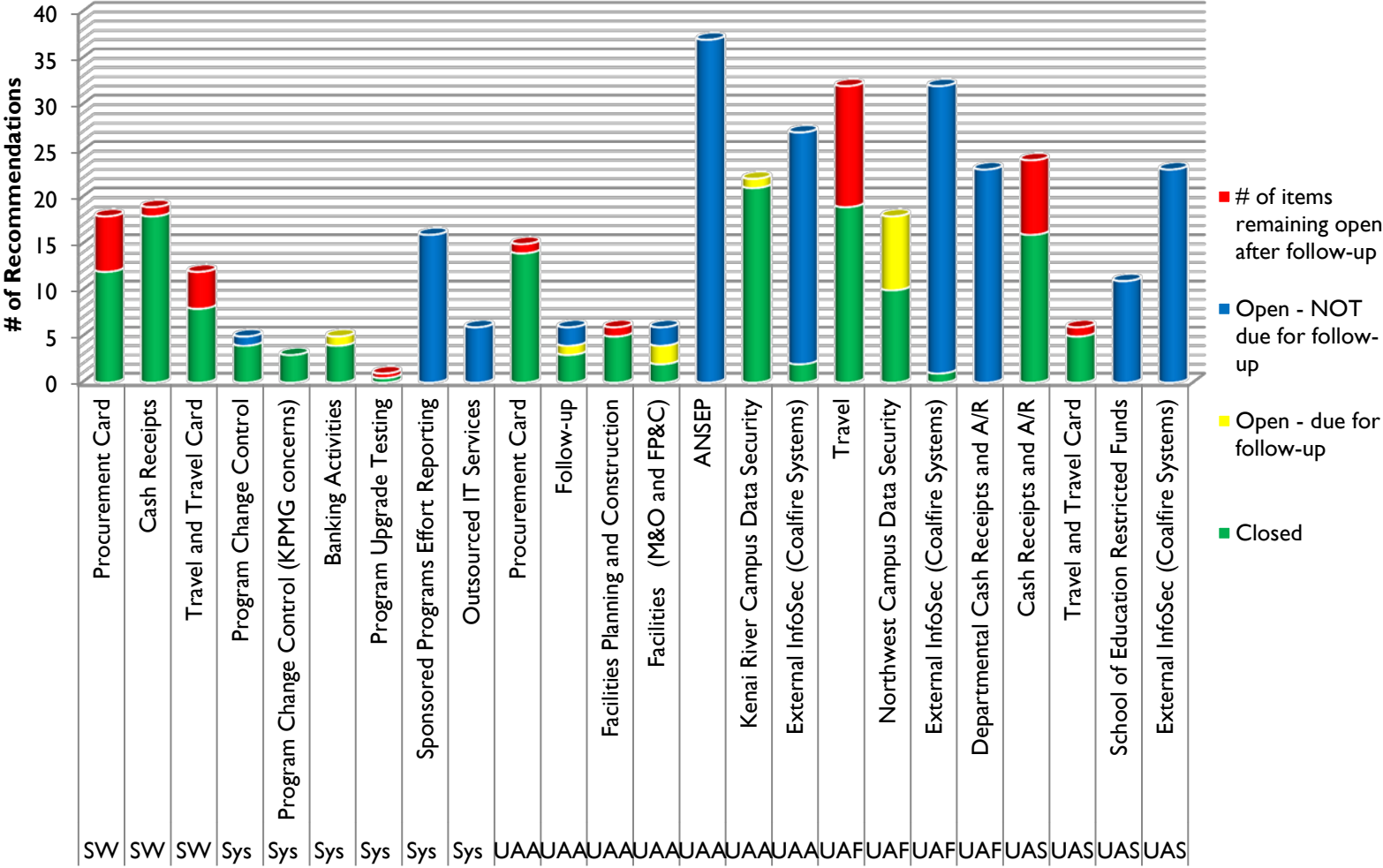
- Next in queue:
 - UAF Restricted Funds
 - IT Governance
- FY13 scheduled audits that will not be conducted:
 - UAF Departmental Review
 - OnBase Access Controls
 - Fixed Cost Contracts Analysis

Audit and Consulting Services – Staffing as of 05/13/13

Audit and Consulting Services



Status of Follow-up Auditing



Audits with Open Recommendations

Status of Follow-up Auditing – Metrics

- Percent of Follow-up Items Conducted or In-progress
97%
(37 of 48)
- Percent of Follow-up Items Closed
39%
(15 count)
- # of Follow-up Items Remaining Open after Follow-up
0 count
- # of Follow-up Items Due for Follow-up
15 count

Audit and Consulting Services – Other Activities

- FY14 Annual Audit Planning
- FY13 department report for Audit and Consulting Services
- In progress:
 - Business continuity implementation team.
 - Implementation of Issue Track for campus-designated employees to be able to view open audit recommendations.
 - Quality assessment review (QAR) remediation.
- Internal control discussions with staff system wide (upon request).



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Agenda Item **VI.C** External Audit Status Report

External Audit Status

Final Reports Issued

- None

Work in Progress

- Sikuliaq Research Vessel (NSF) – draft report expected in July
- Property Control Systems Analysis (ONR)
- FY14 Fringe Benefit Projections (DCAA)
- University of Alaska Annual Financial Audit FY13 (Moss Adams)
- UA Foundation and Consolidated Fund FY13 (Moss Adams)
- UA A-133 Single Audit FY13 (Moss Adams)
- College Savings Plan and Education Trust of Alaska (PWC)