**Summary of University Internal Audit Plans for Fiscal Year 2016-2017**

Planned assignments range from financial, compliance and operational audits, to reviews of internal controls as well as information system controls. Based on the chart presented below, most of the planned reports are in the areas of audit findings follow-up, compliance audits, and performance/operational audits.

Excluding committees, special assignments, and other activities
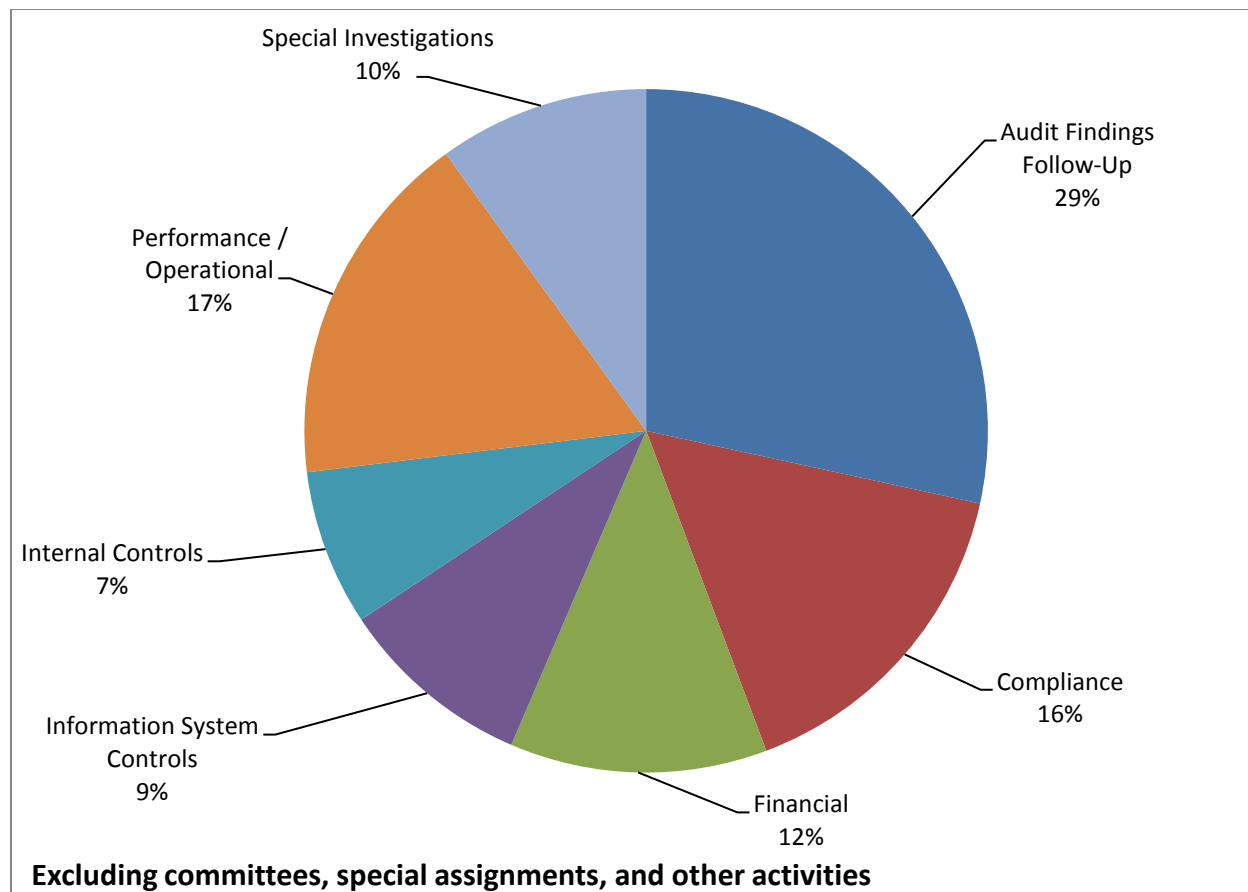
Annual internal audit plans are developed by each institution and result from a comprehensive risk-based analysis of specific operations in relation to institutional operations as a whole. Once an institutional plan is drafted, it is forwarded to leadership for review and approval. Ultimately, the plan is presented to and approved by the board of trustees audit committee. As per the BOG audit committee charter, these plans are then forwarded to UNC-GA for BOG Committee on Audit, Risk Management, and Compliance approval. The details of planned internal audit projects, approved by the board of trustees audit committees, are listed in the following pages.

List of Planned Internal Audit Projects by Institution For Fiscal Year 2016-2017

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
Petty Cash/Change Fund Counts/Receipt Books - 6/30/16
Petty Cash/Change Fund Counts/Receipt Books - 6/30/17
Inventory Testing - 6/30/16
Inventory Testing - 6/30/17
New River Light & Power - 12/31/2015
New River Light & Power - 12/31/2016
Athletics - 6/30/2016
Appalachian Real Estate Holdings, Inc. 6/30/16
Parking and Traffic
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Disaster Recovery - for FY 16/17
Access Controls
Awareness Training for Privileged User Accounts (Protection of Data)
CS Gold Access Module - General controls review
Identification of Distributed IT [Governance]
IT Risk Assessment - Annual Review of completion and approval
Payment Card Industry (PCI) Data Security Standards Compliance
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Departmental Budget Reconciliations
Campus Wide Asset Control
Travel Disbursements
Procurement Card Expenditures Review
Foundation Expenditure Review
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Child Care Development Center
Conferences and Campus - Baseball Camp
North Carolina Research Campus Human Performance Lab
Office of International Education and Development (OIED)
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Financial Aid - Payments to Students
Appalachian Screening, Brief Intervention, and Referral Treatment Student Training
National Collegiate Athletic Association - Paid Attendance Ticket Audit
GEAR UP (Gaining Early Awareness and Readiness for Undergraduate Programs) Grant - Year 2

Specific Audits
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Follow-up -ASU North Carolina Research Campus Human Performance Lab P-Card Review - in conjunction with NCRC departmental review
Follow-up - Game Day Cash Handling
Follow-up - International Travel Funds - in conjunction with OIED review
Follow-up - Food Services - oral findings
Follow-up - Procurement Card Review
Follow-up - State Financial Audit
Follow-up - State IT Audit
Special Investigations (i.e. Misuse or Misappropriation of Assets)
Commercial Photography Loan Contract
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Data Management Committee
Identity Management Committee
Productivity and Security Services Technology Portfolio Committee
UNCAA Secretary
Pcard Review Committee
Information Security Advisory Council
Internal Control Assessment Committee
Administrative Institutional Effectiveness Council
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
Quality Assurance and Improvement Program

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
None
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
2017 Information Technology Disaster Recovery and Continuity of Operations
Incident Detection and Response Procedures
User Account On-Boarding and Off-Boarding
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
None
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Kronos/Payroll
Organizational Continuity
Telemedicine
Comparative Medicine
Division of Health Sciences Contract Revenue
Governance/Ethics
School of Dental Medicine Community Service Learning Centers
One-Card Access
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Conflict of Interest Management Plans
Academic Library Services Leave Time
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Information Technology Data Governance
Athletic Camps
Human Resources
Parking and Transportation Services
Occupational Therapy
Biostatistics
Enterprise Resource Planning Logical Access
Cloud Computing
Academic Integrity
Student Health Services
Special Investigations (i.e. Misuse or Misappropriation of Assets)
As Occurs

Specific Audits
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Routine Consultations
Committee Assignments/ Other Routine Tasks(i.e. SBI Reports, Assist State Auditor)
Pro-Card Analytics
Travel Expenses Analytics
Self-Assessment of Internal Audit
Risk Assessment/Audit Planning 2017-2018
Risk Assessment/Audit Planning 2016-2017
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
None

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
None
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Banner Access
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
None
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Pro-Card
Fixed Assets/Other Assets
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
See Operational Reviews
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
UNC-GA Admissions and Financial Aid Review
Hiring Process
Coaches Salaries
Office of State Auditor Reviews
Special Investigations (i.e. Misuse or Misappropriation of Assets)
Pending
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Consultations and Advisory Services/Committees
Quality Assurance Review
Risk Assessment/Audit Planning 2017-2018
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
None

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
Testing Services Budget Procedures
Student Accounts Receivable and Collections
Departmental Budget Process and Procedures
Cash Count at Cashier's Office
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Payment Card Industry (PCI) Security Compliance
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Review of Internal Control Questionnaire
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Grant Close-out Process and Procedures
Equipment Receiving and Turn-in
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Compliance with the Clery Act
Title IX Compliance
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Second Follow-up to State Auditor's IT Audit
Special Investigations (i.e. Misuse or Misappropriation of Assets)
As Occur
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Internal Control Committee
Banner Steering Committee
Monitor and Report on University Help Line
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
None

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
Surprise Cash Counts
Student Tuition and Fee Revenues
Auxiliary Contract Revenues
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Notification Process for Separated Employees
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Assessment of Internal Controls over Financial Reporting
Purchasing Cards
Human Resources Benefits
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
None
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
NCAA Compliance Audit - Phase II
Contracts & Grants-Key Performance Indicators (Time & Effort Reporting and Grant Closeout Procedures)
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Prior Year Audits - Follow-up
Special Investigations (i.e. Misuse or Misappropriation of Assets)
Hotline Investigations
Unscheduled Audits
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Consultative Engagements/Committees
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
None

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
Financial Reporting Assistance
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
None
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Institutional Scholarships & Grants
Pre & Post Award - Sponsored Programs
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
None
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Clery Act Compliance
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Student Affairs Financial Review
Student Affairs Temporary Review
IT General Controls Audit
UNC-GA 90 Day Follow-ups
Unidentified Follow-ups
Special Investigations (i.e. Misuse or Misappropriation of Assets)
Eagle Card Office
University Band
Unplanned but Anticipated
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Internal Controls Assessment Committee
Campus Education & Training Presentations
UNCAA Executive Committee
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
UNCAA Annual Conference
Risk Assessment

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
None
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
None
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
None
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Operating Efficiencies over Human Resources Forms & Processes
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
None
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Follow-up on prior Student Information System's Access/FERPA Compliance Audit
Follow-up on 2016 Review of the Accelerator Program's Operations
Special Investigations (i.e. Misuse or Misappropriation of Assets)
Hold for unknown/unplanned Investigations
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Consult: Potential Summer Programs Operating Efficiencies
Consult: Information Security Manual development process
Consult: Potential Updates to the Admissions Process
Consult: Potential Improvements to SCSSI Operations
Consult: NCSSM Annual Self-Assessment of Controls over Fin Rpting feedback
Consult: Developing an Accelerator Annual Report
Consult: Other unknown/unplanned consults
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
Annual Risk Assessment / FY2018 Audit Plan Development
Board meetings and other unit administrative duties & oversight
Internal audit marketing/new employee orientation

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
Non-Salary Year End Transfer of Expenses
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Information Technology Network Infrastructure Maintenance
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Security Applications and Technology (SAT) Services
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Assessment of Colleges' Research Support Structure
University Business Operations Division Travel Center Process Pilot
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Title IX
Clery Act
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
College of Sciences - Mathematics Grant Funds Investigation
Controls of Purchase Cards (PCards)
Data Security Controls Related to Peripheral Devices
Division of Academic and Student Affairs - Information Technology General Controls
Non-Instructional Summer Salary Performance Audit - Effectiveness of Faculty Training
Office of the State Auditor Information Technology - Audit Letter Issued to the Vice Chancellor for Information Technology
Office of Information Technology - Infrastructure, Systems, and Operations: Virtual Computing Services
Office of Information Technology - WolfTech Active Directory: Security and Operational Controls
Office of the State Auditor Fiscal Year 2014-2015 Financial Statement Audit, Information Technology Controls Segment
University Network Firewall Protection Service Audit
Special Investigations (i.e. Misuse or Misappropriation of Assets)
As Occur
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Revise Information Technology (IT) Governance Steering Committee
University Information Technology Strategic Advisory (ITSAC) Committee and Security Subcommittees
University-wide Information Technology Risk Assessment
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
Athletics Summer Camps and Clinics - Financial Record Reporting
College of Sciences Audit of Department of Mathematics Grants
Office of Information Technology Security Roadmap
Power America Institute
Student Development, Health, and Wellness Risk Management Consultation

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
State Auditor Findings – Follow-Up
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Monthly IT reports (based upon system changes at the Western Data Center)
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Self-Assessment of Internal Controls
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
P-Card Implementation
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Affordable Care Act (Human Resources)
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Fire and Safety Inspection Follow-Up
Clery Act Follow-up
Special Investigations (i.e. Misuse or Misappropriation of Assets)
As Occurs
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Business Continuity
Policy Review Committee
Citizenship Education Hearing Board
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
Hotline Education
Internal Audit Interns
Inventory Testing
Internal Audit Consulting Engagements
Internal Audit Chief Audit Officers' Meetings
Audit Software Integration

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
Effort Reporting
Scholarship Office
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
IT Security - Disaster Recovery Plan
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
None
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Admin Review: College of Health and Human Services
Admin Review: Academic Services
Travel/Complex Payments Office
Niner Tech Store
Business Continuity Program
Emergency Response/Crisis Communications
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
NCAA compliance - Football Attendance
NCAA compliance - Investigating Rules Violations
Environmental Health & Safety (Fire Safety and Lab Safety)
Biosafety
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Registrar/Academic Integrity Follow-up
Campus Police/Clery Reporting Follow-up
Special Investigations (i.e. Misuse or Misappropriation of Assets)
As Occurs
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Information Assurance Committee (IT Governance)
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
None

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
None
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Access Revocation
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
None
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Historically Underutilized Business Program
Clery Act Reporting
Export Controls
Governance - Trustee Orientation
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
UNC Business Compliance Program 2017
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Follow-up for Prior Internal Audit Findings
Follow-up for OSA Audit - 2015 2nd follow-up
Follow-up for OSA Audit - 2016
Special Investigations (i.e. Misuse or Misappropriation of Assets)
As Occurs
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
CERTIF (UNC-CH Payment Card Industry Compliance Committee)
Internal Quality Assurance Review
Office Systems
HIPAA Risk Assessment
Audit Committee
KPI Reporting
HIPAA Security Liaisons
Data Access and Reporting
UCPPD (University Committee for the Protection of Personal Data)
Risk Assessment and Audit Plan
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
None

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
Auxiliary Enterprises
Gift Processing
Self-Assessment of Internal Controls
Weatherspoon Arts Foundation (Inventory Observation)
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
None
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
None
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
None
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Capital Projects
Departmental Receipts
Intercollegiate Athletics Program (assistance with Agreed-Upon Procedures review)
Misuse or Theft of State Property (reporting)
Purchasing - Purchase Orders
Travel Expenditures
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Follow-up Resolution of Audit Findings of the Office of the State Auditor (Financial Audit)
Special Investigations (i.e. Misuse or Misappropriation of Assets)
As Occurs
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Risk Assessment (for development of internal audit plans)
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
None

APPENDIX D

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
None
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Banner Access and Disaster Recovery Plan
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Cash Collections - Football Games and Student Activity Events
Annual Inventory Observation and Surprise Cash Counts
Fixed Assets
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Human Resources - Hiring Process
Purchasing/Facilities - Capital Improvement Projects and Personal Services Contracts
Financial Aid
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Campus Safety
Athletic Camps and Clinics
Governance - University Policies
Grants
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Pending but Built into Audit Plan
Special Investigations (i.e. Misuse or Misappropriation of Assets)
Pending but Built into Audit Plan
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Internal Control Assessment Committee
Residency Appeals Committee
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
Financial Audit of Friends of UNCW
Student Internship

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
FYE16 Cash Count and Receipting Review
FYE17 Cash Count and Receipting Review
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
IT Performance Audit
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
None
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
None
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Clery Act Compliance
Environmental Health & Safety - Life Safety
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
IA Follow-up - Housekeeping Complaint
IA Follow-up - Mental Health Counseling
IA Follow-up - Vendor Contracts/Payments
IA Follow-up - Business Continuity/Disaster Recovery
IA Follow-up - Housekeeping Survey Report
IA Follow-up - 10 month Employee Pay
2nd Follow-up to OSA Report - IT
Follow-up to NCSEAA Report - SFA
Special Investigations (i.e. Misuse or Misappropriation of Assets)
As Occurs
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Self Assessment of Internal Controls
Audit Committee
Search Committees
Enterprise Risk Management
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
Risk Assessment and Audit Planning
IA Strategic Plan and Assessment
Quality Assessment and Improvement Activities

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
Friends of UNCW
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Disaster Recovery Planning
ImageNow
IT Procedures Validation, Phase II
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Campus Wide Surprise Cash Counts
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Randall Library
Abrons Student Health Center
College of Arts and Sciences
Center for Marine Science Consultation
Student Affairs Mini-Audit
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Sponsored Programs and Research Compliance (SPARC), Phase I
SPARC, Phases II and III
Environmental Health & Safety
Purchasing Card
Campus Dining/Aramark Contract
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Various Follow-ups
Special Investigations (i.e. Misuse or Misappropriation of Assets)
Include investigations of internal and external hotline reports as well as any similar types of investigations, regardless of the source.
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Committee Assignments
Routine Consultations
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
Other Quality Assurance Activities
Risk Assessment/Audit Plan
Campus Training

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
Information Systems, access and storage of data
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Information Systems, access and storage of data (same as above, integrated)
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Business Processes, Campus Wide
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Review of Safety Training, Labs
Review of Business Continuity Plans, continued
Review of Building Emergency Action Plans, in progress
Business Processes, Campus Wide
Review of Faculty Credentialing
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Random/Recurring Audits of:
IT Fixed Assets
Petty Cash
Grant Activity
Purchasing Card Transactions
Purchasing Card Industry Data Security Standards
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Networking Closets
SciQuest, additional follow up
Special Investigations (i.e. Misuse or Misappropriation of Assets)
Include two to three hotlines and investigations each year
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Data Security Stewardship Committee
Information Technology Leadership Council
Southern Association of Colleges and Schools Program Review SharePoint Site
Operational Outcomes Assessment Committee
Enterprise Risk Management Council
Computer Security Incident Response Team
University of North Carolina Auditor's Association
Association of College and University Auditors
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
Annual Risk Assessment
Analysis of Health Services and Purchasing Card Transactions using Tableau Visual Risk IQ

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
FYE16 Cash and Receipting Review
FYE16 Fuel Inventory Observation and Review
Payroll Processing
FYE17 Cash and Receipting Review
FYE17 Fuel Inventory Observation and Review
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
IT Operations
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
Fraud Risk Assessment
Business Services
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Student Financial Aid Resource Review
Homecoming Parade
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
P-Card Compliance Monitoring
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
2nd Follow-up to OSA Report - Title III
IA Follow-up - Business Continuity Management
IA Follow-up - P-Card INV
IA Follow-up - Computer Accountability
IA Follow-up - Temp Employee OT
IA Follow-up - P-Card Monitoring Review
IA Follow-up - Athletic Fundraising
IA Follow-up - Clery Act Compliance
IA Follow-up - Travel Payments
IA Follow-up - Employee Relations
IA Follow-up - Athletics Search Process
3rd Follow-up to OSA Report - IT
2nd Follow-up to OSA Report - Student Financial Aid
Special Investigations (i.e. Misuse or Misappropriation of Assets)

Specific Audits
OSA Hotline Complaint - Scraps
OSA Hotline Complaint - Grounds
OSA Hotline Complaint - Environmental Services
Internal Complaint - Overtime
GA Anonymous Complaint - Enrollment Mgmt
Internal Fraud - P-Card
Internal Complaint - Missing Receipts
Internal Complaint - SA Checkbook
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Self-Assessment of Internal Controls
Audit Committee
Search Committees (university-wide)
University Strategic Planning Committees
Executive Staff
Compliance Calendar Implementation and Monitoring
Enterprise Risk Management
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
IA Administrative Assessment
IA Strategic Plan and Assessment
Risk Assessment and Audit Planning
Quality Assessment & Improvement Activities

Specific Audits
Financial Audits/Reviews (Include audits/reviews having a direct relation to financial information at the institution.)
None
Information System Controls (Include audits/reviews of information systems, including general controls, application controls, and disaster recovery.)
Controls over End User Data Storage & Security Awareness
Audits/Reviews of Internal Controls (Include audits/reviews of internal control systems and processes.)
None
Performance/Operational Audits and/or Reviews (Include audits/reviews of departmental operations and activities.)
Hold for Requests from UNC-TV
Compliance Audits (Include audits/reviews of compliance with federal and state requirements Also include audits/reviews of compliance with university policies and procedures.)
Compliance with Grant Sub-recipient Monitoring Requirements
Audit Findings Follow-up (Follow-up activity related to audit findings resulting from external audits and those from internal audit activity.)
Follow-up on 2016 OSA IT General Controls Audit
Follow-up on 2016 ECSU Financial Aid & Admission Review
Follow-up on 2016 UNC-GA Travel & P-card Review
Special Investigations (i.e. Misuse or Misappropriation of Assets)
As Occurs
Special Assignments (Include special activities assigned to the internal auditor, including committee assignments and other activities not involving audit/review activities.)
Consult: UNC-TV Costing Methodology
Consult: Internship Program for HBCU/policy & procedure update
Consult: UNC-GA Annual Self-Assessment of Controls over Financial Reporting
Consult: Other unknown/unplanned Consults
Other (Include other internal audit activities not included elsewhere. The entries here should be very limited.)
Annual Risk Assessment / Audit Plan Development
Board meetings and other unit administrative duties & oversight
Internal audit marketing/new employee orientation
Internal audit services to NCSSM & NCSEAA