Statewide Internal Audit
Follow-up Audit Tracking

| Audit # and Title | Final Report Issued Date | Implementation Deadline | Follow-up Status | Follow-up Comments | Recommendation Category | # of Recommendations in Category |
|---|---|---|---|---|---|---|
| ***Blue shaded rows represent older audits that originated prior to the change over of the audit director (12/2007). These had items open for follow-up as of March 2012*** | | | | | | |
| 00-30 Program Change Control | | 11/4/2002 | Not Done | This will be considered for inclusion during planning for 12-35, being mindful that the original audit occurred over 10 years ago. | | |
| | | | | | Banner Access | 1 |
| | | | | | Segregation of Duties | 3 |
| | | | | | Incomplete Documentation | 1 |
| 02-50 Software Licensing Compliance | | 5/15/2003 | Not Done | Likely to be a new audit in FY13. | | |
| | | | | | Software License Compliance | 4 |
| | | | | | Microsoft License | 2 |
| | | | | | Communicating Software Availability | 1 |
| 04-20 UAF Poker Flats | | 2/28/2006 | Not Done | To be conducted before the end of FY12. | | |
| | | | | | Reevaluation of Contracts | 1 |
| | | | | | Training and Payment Approval | 1 |
| | | | | | Comparison Prior to Approval | 1 |
| | | | | | Understanding the Procurement Manual | 1 |
| | | | | | Monitoring Purchase Orders | 1 |
| 04-22 Banking Activities | | 7/1/2004 | Not Done | To be conducted before the end of FY12. | | |
| | | | | | | |
| | | | | | Adequate Support Documentation | 1 |
| | | | | | ANSEP | 3 |
| | | | | | Biology Department | 4 |
| | | | | | Parking Services | 3 |
| | | | | | Provost's Office | 4 |
| 08-20 UAA Follow-up Review | 11/24/2008 | 11/24/2009 | n/a | I conducted this review immediately after becoming director. It gave me an opportunity to follow-up on a number of older audits that I had not been involved in previously. Follow-up procedures were conducted on recommendations from 4 prior audits, ranging back to FY00. 6 recommendations remained open as a result, but due to the age of the original audits it would be better to postpone efforts until new audits are conducted. | | |

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|---|---|---|---|---|---|---|
| 10-20 UAA Facilities | | | | Final report has not been issued; awaiting response from UAA | | |
| 10-23 UAF Facilities | 1/11/2012 | 4/30/2012 | Not Done | Scheduled to occur within next 6 months | | |
| | | | | | Billing Information on Facilities Website | 1 |
| 10-34 Statewide Travel and Departmental Travel Card | 12/7/2011 | 10/12/2011 | Not Done | Scheduled to occur within next 6 months | | |
| | | | | | Travel Form Signature Dates | 1 |
| | | | | | Completion of Travel Authorization Forms | 3 |
| | | | | | Completion of Travel Expense Reports | 2 |
| | | | | | Travel Documentation | 2 |
| | | | | | Statewide Departmental Travel Card | 4 |
| 11-18 Systemwide Sponsored Programs Effort Reporting | | | | Audit is in progress | | |
| 11-21 ANSEP Restricted Funds | 12/7/2011 | 11/30/2012 | Not Done | Scheduled to occur within next 12 months | | |
| | | | | | Budget and Expenditure Monitoring | 9 |
| | | | | | Spending Analysis | 1 |
| | | | | | Scholarships | 2 |
| | | | | | Property | 4 |
| | | | | | Subawards and Subrecipient Monitoring | 4 |
| | | | | | Effort Reporting and Payroll | 5 |

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|---|---|---|---|---|---|---|
| | | | | | Journal Vouchers | 3 |
| | | | | | Representational/Nonrepresentational Purchases | 2 |
| | | | | | Written Procedures | 1 |
| | | | | | Adequate Support Documentation | 6 |
| 11-23 UAF Northwest Campus Data Security | | | | The UAF formal response was received 2/24/12 | | |
| 11-27 UAA Kenai Peninsula College Data Security | | | | Draft report undergoing revisions prior to distribution to KPC | | |
| 11-29 UAS School of Education Restricted Funds | | | | Preliminary report issued | | |
| 12-32 Outsourced IT Service Contracts | | | | Audit is in progress | | |
| 12-35 Banner Program Upgrade | | | | Audit planning is in progress | | |
| 12-39 Banking Activities | | | | Audit planning is in progress | | |
| 12-21 UAA Athletics | | | | Audit planning is in progress | | |