

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
<i>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</i>						
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
02-50 Software Licensing Compliance		5/15/2003	Not Done	Likely to be a new audit in FY13.	Segregation of Duties	3
04-20 UAF Poker Flats		2/28/2006	Not Done	To be conducted before the end of FY12.	Incomplete Documentation	1
04-22 Banking Activities		7/1/2004	Not Done	This will be part of new audit 12-39.	Software License Compliance Microsoft License Communicating Software Availability	4 2 1
04-50 Program Upgrade Testing		11/2/2006	Not Done	This will be part of new audit 12-35.	Reevaluation of Contracts Training and Payment Approval Comparison Prior to Approval Understanding the Procurement Manual Monitoring Purchase Orders	1 1 1 1 1
04-22 Banking Activities		7/1/2004	Not Done	This will be part of new audit 12-39.	UAF: Club Accounts UAA: Alaska Center for Rural Health (ACRH) UAA: Goose Bay Joint Venture UAF: Hockey Booster Club	3 1 1 2
04-50 Program Upgrade Testing		11/2/2006	Not Done	This will be part of new audit 12-35.	Upgrade Testing Procedures	1
08-19 UAA Procurement Card	9/26/2008	11/30/2008	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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					Business Office Accounts Receivable	2
					Voice Services Operating Plans and Rate Proposal	2
					Alternative Methods of Procurement	1
					Bookstore Cash Handling	1
08-21 UAF Cash Receipts	4/6/2009	4/30/2009	Not Done	Follow-up started in FY10 but stopped when the intern left; Scheduled for FY13 as a new audit		
					Museum	3
					Health and Counseling Center	2
					Tanana Valley Campus	4
08-23 UAF Follow-up Review	11/21/2008	10/10/2009	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 6 prior audits, ranging back to FY00. 5 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.		
					Travel	2
					Sea Grant Publications Cash Receipts	1

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					Kuskokwim Campus Bookstore Fund Deficit	1
					Kuskokwim Campus Accounts Receivable	1
08-28 SW Procurement Card	11/21/2008	11/21/2009	Not Done	Scheduled for FY12		
					Adequate Support Documentation	1
					Academic Affairs	4
					Development	5
					Governance	4
					Office of Information Technology	1
					Student Enrollment Services	3
09-22 UAF Travel	6/9/2010	5/13/2011	Not Done	In-progress at this time		
					Institute of Arctic Biology	11
					Institute of Northern Engineering	7
					School of Fish and Ocean Sciences	7
					Design and Construction	7
					UAF Travel Office Training for Departments	1
09-23 UAF CRCD CDE & Bookstore	11/25/2009	10/5/2010	Not Done	In-progress at this time		

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					Cash Receipts	4
					Procurement	8
					Journal Vouchers	2
					Student Service Fee	2
					Bookstore Operations	4
09-24 UAF Athletics Follow-up	5/17/2010	9/24/2010	Done	All prior audit recommendations were closed		
09-27 UAS Departmental Cash Receipts and A/R	8/20/2009	8/12/2010	Done	15 of 24 prior audit recommendations were closed. The nine recommendations remaining open will be scheduled for future follow-up again.		
09-28 UAS Departmental Travel and Travel Card	5/7/2009	4/27/2010	Done	1 prior audit recommendation remains open and will be reviewed again at a future date.		
					Comparison Itineraries	1
09-29 UAS Grants and Contracts Follow-up	6/1/2009	5/4/2007	Done	All prior audit recommendations were closed after two rounds of follow-up auditing		
09-33 SW Departmental Cash Receipts	11/10/2010	8/16/2010	Not Done	Scheduled to occur within next 6 months		
					Controller's Office	4
					Office of Information Technology	5
					Academic Affairs K12 Outreach	6
09-36 UAA Facilities Planning and Construction	1/20/2009	4/1/09 1/8/10	Done	3 of 4 prior audit recommendations were closed		
					Project Activity Tracking	1
10-19 UAA Cell Phones	9/7/2010	9/7/2010	Done	All prior audit recommendations were closed		

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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		