

2019 INTERNAL AUDIT PLAN

Project	Campus	Resource	Projected Start
Risk Assessment of Selected Grant Management Activities	KUMC	External (Neeley)	1 st Quarter
I9 Process Review	KUMC	IA (Holtkamp)	1 st Quarter
Entity IT Risk Assessment (SOM Wichita)	KUMC	IA (Trabon)	1 st Quarter
Controlled Substance Diversion Prevention & Detection	Lawrence	IA (Neeley)	1 st Quarter
Entity IT Risk Assessment (Lawrence Campus)	Lawrence	IA (Trabon)	1 st Quarter
Conflict of Interest (Sponsored Research)	KUMC	IA (Holtkamp)	2 nd Quarter
FITC Segregation of Duties & Other Financial Reporting Internal Controls	Lawrence	IA (Trabon)	2 nd Quarter
KAI External Audit Support	Lawrence	IA (TBD)	2 nd Quarter
External Quality Assessment Review (for Internal Audit)	KUMC & Lawrence	IA (Curran)	2 nd Quarter
Enroll & Pay Application Risk Assessment	KUMC & Lawrence	IA (Trabon)	3 rd Quarter
Entity IT Risk Assessment (KUMC)	KUMC	IA (Trabon)	3 rd Quarter
Annual COI Review	KUMC & Lawrence	IA (TBD)	4 th Quarter
University Financial Sub-Certification (FY2019)	KUMC & Lawrence	IA (Holtkamp)	4 th Quarter

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Annual Risk Assessment for Audit Plan Development	KUMC & Lawrence	IA (Holtkamp)	4 th Quarter
Selected Grant/Contract Management Activities	Lawrence	IA (Trabon)	TBD
Transition Management Reviews (Placeholder)	KUMC & Lawrence	IA (TBD)	TBD
KAI Internal Audit Activities	Lawrence	IA (TBD)	TBD
Enterprise Risk Management (ERM) Support	KUMC & Lawrence	IA (Curran)	TBD
Monitoring of Selected IT Security Practices	KUMC	IA (Neeley)	Quarterly
Monitoring of Selected Grant Administration Activities	Lawrence	IA (Trabon)	Quarterly
Workday Pre-implementation	KUMC	IA (Neeley)	On-Going
Unit-Level IT Risk Assessment Activities (Placeholder)	KUMC & Lawrence	IA (Trabon)	On-Going
Application IT Risk Assessment Activities (Placeholder)	KUMC & Lawrence	IA (Trabon)	On-Going
Action Plan Follow-up	KUMC & Lawrence	IA (Neeley)	On-Going
Leadership Requests (Placeholder)	KUMC & Lawrence	IA (TBD)	On-Going
Hotline Response/Investigation Requests (Placeholder)	KUMC & Lawrence	IA (TBD)	On-Going

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Workday Pre-Implementation Security/Segregation of Duties Review	KUMC	External (Neeley)	1 st Quarter
Payroll Internal Controls Assessment	KUMC	IA (Holtkamp)	1 st Quarter
Service/Recharge Center Policy Compliance	KUMC	IA (Holtkamp)	2 nd Quarter
Conflict of Interest (Sponsored Research) <i>from 2019 plan</i>	KUMC	IA (Holtkamp)	3 rd Quarter
Clinical Research Risk Assessment	KUMC	IA (Neeley)	On-Going
Controlled Substances & Laboratory Safety Compliance	Lawrence	IA (Neeley)	1 st Quarter
Selected Inventory Controls	Lawrence	IA (Kastning)	2 nd Quarter
KAI Internal Audit Activities	Lawrence	IA (Kastning)	2 nd Quarter
KAI External Audit Support	Lawrence	IA (Kastning)	2 nd & 3 rd Quarters
Records Management	Lawrence	IA (Curran)	3 rd Quarter
Monitoring of Selected Grant Administration Activities	Lawrence	IA (Kastning)	On-Going
Biodiversity Institute/NHM Budget Assessment	Lawrence	IA (Kastning)	TBD

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Architecture & Design Transition Review	Lawrence	IA (Kastning)	Initiated in CY19
Office of Provost Transition Review	Lawrence	IA (Curran)	1 st Quarter
Transition Review (Placeholder)	KUMC & Lawrence	IA (Curran)	TBD
Five-Year Review Supplement	Lawrence	IA (Kastning)	TBD
Affiliate Agreement Compliance	KUMC & Lawrence	IA (Curran)	2 nd Quarter
Annual COI Review	KUMC & Lawrence	IA (Song)	3 rd Quarter
University Financial Sub-Certification (FY2020)	KUMC & Lawrence	IA (Holtkamp)	4 th Quarter
Annual Risk Assessment for Audit Plan Development	KUMC & Lawrence	IA (Curran)	4 th Quarter
Previous Audit Follow-up	KUMC & Lawrence	IA (TBD)	On-Going
Leadership Requests (Placeholder)	KUMC & Lawrence	IA (TBD)	TBD
Hotline Response/Investigation Requests (Placeholder)	KUMC & Lawrence	IA (TBD)	TBD
Daptiv Implementation	Internal	IA (Kastning) /ChangePoint	1 st Quarter