

Compliance Reviews*

1. Clery Act	<i>Review of compliance with Clery Act requirements at selected campuses. Focus on reporting by community campuses to the universities for compilation of the annual safety report.</i>
2. Gramm, Leach and Bliley Act	<i>Review of compliance with GLBA requirements at selected campuses. Likely will focus on student financial aid, depending upon the depth that Moss Adams reviews this area for FY17.</i>
3. Subrecipient Monitoring	<i>Review of compliance with the Federal Uniform Guidance requirements for subrecipient monitoring.</i>

Function and System Reviews*

4. Loss Prevention	<i>Review of the loss prevention reporting process.</i>
5. Revenues and Banking	<i>Review of revenue processes from collection of funds to deposit into the bank account. Includes review of mechanisms used for deposit, such as electronic banking, and use of university bank accounts.</i>
6. Tuition and Fees	<i>Review of tuition rate assessments and fee revenue usage.</i>
7. Ethics/Conflict of Interest	<i>Review of the process and procedures for preventing conflicts of interest between the university duties performed by personnel and outside activities or employment.</i>
8. Business Offices	<i>Review of segregation of duties for business office functions at selected campuses. For community campuses, this will be likely be combined with the data center reviews.</i>

Information Systems Reviews*

Continuing our efforts with audits that include cybersecurity/resiliency, the following audits would include review of security controls.

9. Data Centers	<i>Review of the physical and environmental controls for a selection of campus data centers.</i>
10. Network	<i>Review of network configuration that secures university data. May include review of devices that are intended to protect the university network from unauthorized access.</i>
11. Oracle Database	<i>Review of configuration for the Banner database. Evaluate the adequacy of security for data that is maintained within the database.</i>

Ongoing Audits

- 12. Follow-up Auditing
- 13. Continuous Controls Auditing**

* Specific departments/areas to be determined during planning for specified audit or project. These will be selected from any of the universities, campuses, or system offices.

** Audit and Consulting Services plans to work with the campuses to develop further controls tests for which the results can be communicated to the campuses at agreed upon intervals. For example, one campus may wish to see the top five ProCard accounts or travelers for their location by volume of activity for each quarter.