



UNC CHARLOTTE

College of Engineering Operational Review

Kickoff Meeting and Open Discussion

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Agenda

- Introductions
- Audit Overview
- Summary



Project Overview

- Objective: Conduct a review of selected operational procedures within the College of Engineering to measure compliance with University standards.
- Source: Department Review Guide
- Schedule: 2 days with each department/center as arranged by Jane Stewart



Schedule

Kickoff Meeting May 29, 2014

Units to Visit

Civil and Environmental Engineering

Electrical and Computer Engineering

Systems Engineering and Engineering Management

Engineering Technology and Construction Management

Mechanical Engineering and Engineering Science

Center for Precision Metrology (CPM)

Center for Biomedical Engineering Science (CBES)

Energy Production and Infrastructure Center (EPIC)

NC Motorsports and Automotive Research Center (NCMARC)

Outbrief and Final Report Date To Be Determined



Topics selected for Review

FISCAL

- Accuracy of Financial Records
- Grants and Contracts
- Capital Assets
- Cash and Receivables
- Procurement
- Telecommunications

HUMAN RESOURCES

- Time and Attendance Reporting

RISK MANAGEMENT, SAFETY, AND SECURITY

- Business Continuity Planning
- Safety of Workplace
- Lab Safety

INFORMATION SYSTEMS

- Logical Security
- Environmental Controls
- Access (Logical/Physical) Controls
- Disaster Recovery
- Website Operation/Development

STUDENTS

- Protection of Sensitive Information
- Oversight of Student Organizations



Sample Interview Questions

- Have there been significant changes in personnel or funding in the last year?
- Do units in the college handle cash/checks/credit cards and make deposits?
- Are staff and/or faculty involved in extensive travel or international travel?
- Are honoraria payments made by the college?
- Are expenses posted to research grants adequately monitored?
- Are pilferable fixed assets recorded and tracked?
- Do staff or faculty who work from home use personal computers?
- Is there an active safety conscious environment in the laboratories?

Final Report Format

Color Codes:	G = Good Controls	A = Minor Fixes	R = Major Fixes	* = Addressed During Review		
TOPIC	DEPT	DEPT	DEPT	CENTER	CENTER	DEAN
FISCAL						
Accuracy of Financial Records	A	G	A	A	G	A
Grants And Contracts	NA	NA	NA	NA	NA	NA
Capital Assets	G	G	G	G	G	G
Cash and Receivables	G	G	G	G*	NA	G
Procurement	A	G	A	A	G	G
Telecommunications	G	G	G	G	G	A
HUMAN RESOURCES						
Time and Attendance Reporting	G	A	A	G	A	A
INFORMATION SYSTEMS						
Logical Security						A
Environmental Controls						A
Access (Logical/Physical) Controls						G
Disaster Recovery Plan						G
Web Site Operation/Development						G
STUDENTS						
Advising Student Organizations	G	G	G	G	G	NA
Protection of Information (FERPA)	G	G	G	G	G	G
RISK MANAGEMENT, SAFETY, AND SECURITY						
Safety of Workplace						R
Lab Safety						R
Business Continuity Planning	NA	NA	NA	NA	NA	R



Closing Comments

- 🌿 We're here to help!
- 🌿 We're excited to be back here and to get to know more about the College!
- 🌿 What are your questions?